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1 Monthly Processes (MP)

The monthly MIS/DSS update cycle consists of numerous concurrent and sequential tasks all executed in a pre-determined order. The primary objective of this monthly cycle is the timely and accurate update of MIS/DSS databases. The monthly update process actually spans a little over two months in duration, however, its timeframe is typically thought of as the "17 business days" of processing that are associated with the DataScan DSS update aspect of the overall MIS/DSS monthly update. Typically a new database is released each month for DataScan and Panorama View and therefore tasks for particular update cycles overlap from one to the next. The following sections describe the MIS/DSS monthly update process in sufficient detail, particularly highlighting the order and inter-relationships of tasks, as to provide an encompassing overview of "what it takes" to accomplish a monthly cycle. Figure 1 (Flow of Monthly MIS/DSS Process) below provides a pictorial representation of the tasks associated with an update while Figure 2 (GANTT Chart of Monthly Activities of DSS Update Cycle) below identifies the tasks and provides a timeline view (GANTT) chart of the processing order and associated duration of each task.

1.1 Major Activities in a MIS/DSS Monthly Update Cycle

The MIS/DSS update cycle consists of six major tasks including

1. Creation, assessment, monitoring, and implementation of change (i.e., packaging)
2. Receipt and processing of input data
3. The DataScan update (e.g., Conversion, edit, Case and Episode build, and History Roll-off processing of DSS data)
4. The Panorama View Update (e.g., extraction, processing, aggregation, and quality reporting of MIS data)
5. Creation of Briefing Book reports sets
6. Monthly cycle wrap-up processing

1.1.1 Creation, assessment, monitoring, and implementation of change

Document MP-2 (Release and Pre-Release Packaging) describes, in detail, the overall planning and implementation efforts that become associated with each monthly update cycle occurrence. Ongoing Change Control and MEDSTAT resource planning meetings provide the necessary arenas for the discussion of potential change to the various systems involved in the updates and the necessary timeframes required to make and successfully test change before it is incorporated into the ongoing monthly production update process. As described in the document, MEDSTAT uses a pre-release and release document process to apprise all project participants of impending and actual implemented change that occurs for a given update. A cut-off date is designated for items to typically be completed and included in any given update (see Task #7 on Figure 2 – GANTT Chart of Monthly Activities of DSS Update Cycle). MEDSTAT management uses reports and status meetings to track the progress of agreed upon change to accurately determine its introduction into the production cycle at the appropriate update boundary. The Change

Control group would also make any necessary determination to hold change back for a subsequent update or to hold-off the start of an update if a critical change is required and needed additional time to be completed.

1.1.2 Receipt and processing of input data

Document MP-1 (Data Receipt) describes the processes that ITSD, MEDSTAT and the project office perform each month in order to help insure a consistent and high quality of data for inclusion each month into the database. Data is delivered in two major sets. The Eligibility, Provider, Managed Care Plan Financials, and Capitation data (a.k.a. Part A data - Task #3 on Figure 2) is delivered to MEDSTAT approximately three weeks after the completion of MMIS processing of claims for the update month. The claims and encounter data (a.k.a Part B data - Task #4 on Figure 2) is delivered to MEDSTAT approximately six weeks after the completion of MMIS processing of claims for the update month. Once both sets of data are available and approved for use by the Project office and all prescribed change has been completed then a Go/No-Go decision is made to proceed on the monthly update (see Task #9 on Figure 2).

1.1.3 The DataScan Update

Document MP-3 (Database Build and Update (DataScan)) details the many activities involved each month as the new DSS data is processed and inserted into the production database. This process takes 17 business days and is comprised of the following major activities:

1. Converts (see Task #13 on Figure 2) - raw input claims, eligibility, provider, managed care plan financials, and capitation data is run through a succession of edits and mappings to arrive at data in a suitable format for core DataScan product processing. This set of processes marks the beginning of an ongoing validation effort (see Task #18 on Figure 2) that transpires throughout the update to ensure the quality of the process.
2. Core Edits and Case build (see Task #14 on Figure 2) - converted data is passed through a number of transformation edits resulting in the population of categorical fields based upon the converted values. These MEDSTAT categorizations are later used to help construct cases (inpatient hospital related sets of claims) and episodes (diagnosis based associated claims). Case processing results in the identification of inpatient and outpatient claims that are “stamped” with a case id because they are related to a given stay in the hospital. Once the core product edits and case build are complete, claims are ready for insertion into the data warehouse (DSS). If this process finishes just prior to a weekend or substantially before the predicted insert nights, then the cycle stops and waits for the actual first insert night; no jobs are executed. This is known as wait period 1 in the cycle.
3. Claim Inserts (see Task #15 on Figure 2) - Claim rows are placed into the outpatient, drug, or inpatient table as determined during the Core edit and case build process. An application indicator value is set to “N” at this point to ensure that these records cannot be seen by users until the full update cycle completes. It should also be noted that the insert process requires a “user outage” period during which no user access

can occur on the DSS - this is scheduled as two nights from 5 p.m. to 8 a.m. for the update cycle. The claim insert process also marks the last point where a Panorama View extract is created (Case Days). Once this file is created after the first night of inserts, the MIS update may begin processing (see section 1.1.4 The Panorama View Update).

4. Episodes of Care processing (see Task #16 on Figure 2) - Claim rows are read from the inpatient, outpatient and drug tables and associated by relation to a disease by looking at the diagnosis codes identified on each. Unique Episode numbers are then placed on each set to denote the association. As this process looks at all existing claims as well as the new claims inserted in a given month, it is somewhat long running (3-4 days). This is the last process that occurs before the History Roll-off (HRO) weekend that completes the update cycle. In the event that this process finishes before HRO the cycle goes into a hold mode where no jobs are executed and processing waits for the start of HRO weekend. This period is known as wait period II in the cycle on Dashboard reports created by MEDSTAT and used to keep project members informed of the update outcome (see Document MP-9 (Operations Dashboards)). This time period also serves as the point where table organization and reorganization occurs each month, if it is necessary (see Document MP-8 (Database Reorganizations)).

5. History Roll-off processing (see Task #17 on Figure 2) - Claim rows are read from the inpatient, outpatient and drug tables to determine if they meet one of two scenarios 1) the claim has a service date that is before the 30-month DSS window but a paid date inside the window (these claims are then moved to the Inpatient or Outpatient Paid tables) or 2) both the service and paid dates are outside the 30-month window and the claim is removed altogether from the database. New claims have their APPLIND changed to a value of 'Y' making them active for view by users. This process helps to ensure a running 30-months of data is available at the completion of each monthly update. The history roll-off process begins at close of business on Thursday of the last weekend of the cycle. The new database (inclusive of new claims and minus excessively old claims) is then made available for 1/2 day of User Acceptance testing on the following Monday and is made generally available to all end users at noon on the same day. This day also marks the completion of validation testing that has occurred throughout the testing cycle. This day also marks the beginning of the Briefing Book set creation (see section 1.1.5).

1.1.4 The Panorama View Update

Document MP-4 (Panorama View Database Build) details the many activities involved each month as the new MIS data is processed and inserted into the production MIS database. This process takes approximately 12 business days and is comprised of the following major activities:

1. Prepare Catalogs (see Task #22 on Figure 2) - The Panorama View Catalog Implementation Guide is used to capture the client specific customization of Panorama View. These catalogs exist in the form of Microsoft Access database tables and INI files. Any change in the client specific Panorama View Catalog

Implementation Guide will institute a change to the catalogs used in the build/update. After the documentation is updated appropriately for the changes required for a Panorama View build or update, an email is sent to the Panorama View Production team with the appropriate files attached. Changes are made to the appropriate catalogs and sent back to Sacramento for use in the update.

2. Load extracted data onto server (see Task #23 on Figure 2) - After the relevant data is extracted from the DataScan database, it is loaded on the Panorama build server. When each extract job completes, the project team member assigned to the Panorama View build/update views the output on the mainframe in IOF. After each extract is validated, the data is loaded onto the Panorama build server.
3. Aggregate Panorama View cubes (see Task #24 on Figure 2) - After the extract data has been loaded onto the Panorama View build server, the update process starts. The Panorama View DB2 tables are updated with the new data and aggregation queries are run to summarize the information from the detailed claims, provider and eligibility data. The output of the aggregation queries is then loaded into the multidimensional database.
4. Copy new PV database to interactive server (see Task #26 on Figure 2) - After the database build/update completes and all the validation tests have been executed, the Panorama View database must be moved to the Panorama View Interactive Server. This is currently done over the DataScan HRO weekend (see Task #17 on Figure 2) and requires an outage to the current Panorama View database.

1.1.5 The Briefing Book Update

While the process remains the same, Briefing Book is now only updated annually, after the December monthly update.

Document MP-5 (Briefing Book update) details the activities involved each month to create the set of Briefing Book reports. This process takes between 4-10 business days depending upon the set that is created (e.g., plan profile, provider reports, etc.) and is comprised of the following major activities:

Plan Profiles

1. DB2 Extract (See Task # on Figure 2) - The first step in the process for generating plan profile data is the initial data extract in which a series of queries on the IP, OP, and Drug claims tables is run and the resulting data is merged together and uploaded into a consolidated Briefing Book Extract table. This process is included in the regular scheduled jobs with each monthly update
2. Perform MS Access Queries (see Task #29 on Figure 2) - MS Access is used to create and ODBC link to the tables created by the DB2 Extract. MS Access queries are run to further summarize the data.
3. Export Data to Microsoft Excel (See Task # on Figure 2) - Summarized data are transferred by plan into preformatted Excel Spreadsheets.

4. Perform Validation (see Task #30 on Figure 2) - There are two MyEureka! queries that need to be run to double check the Plan Profile numbers. The first query is a count of eligibles in each plan—a verification of the enrollment figures displayed in the Quality/Utilization spreadsheets. The second is a verification of each plan's financial data for the most recent quarter.
5. Post Briefing Book reports to Briefing Book server (See Task #31 on Figure 2) - Excel spreadsheets are converted to PDF files and promoted to the Panorama Briefing Book Server via PC Anywhere. The Briefing Book HTML pages are updated to reflect the current dates of new Plan Profiles. All HTML links are verified to ensure all reports are accessible to the end-users.

Recipient and Provider Profiles

1. Change Dates on DataScan Subsets and Submit Scripts - (See Task # on Figure 2) – Provider and Recipient Profile subsets are located under the userid HMTRN0 in DataScan. Service dates within the subset are updated and the reports scripted.
2. Retrieve and Format Reports (See Task # on Figure 2) - Retrieve, sort and format report output in Excel. Each report is sorted three ways: 1) by frequency (# of services, scripts, admissions, etc.); (2) by Net Payment ($); and (3) by most expensive (cost/recipient, cost/admission, etc.) - except the managed care reports, which do not have this third sort.
3. Perform Validation (see Task #30 on Figure 2) - Check reports to ensure proper service dates were applied. Check reports against prior posting of each report to test reasonability.
4. Post Briefing Book reports to BB server (See Task #31 on Figure 2) - Excel spreadsheets are converted to PDF files and promoted to the Panorama Briefing Book Server via PC Anywhere. The Briefing Book HTML pages are updated to reflect the current dates of new reports. All HTML links are verified to ensure all reports are accessible to the end-users.

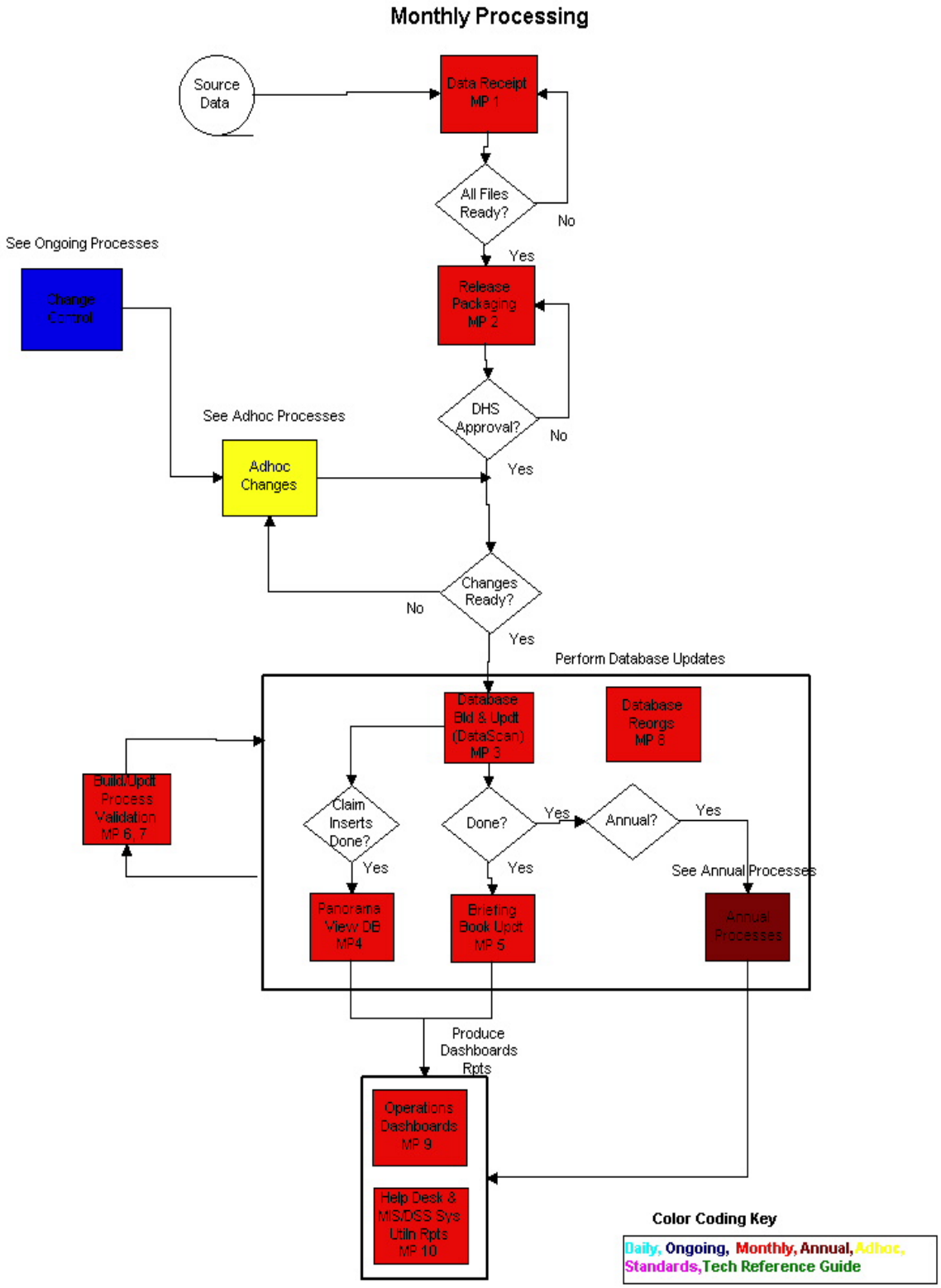
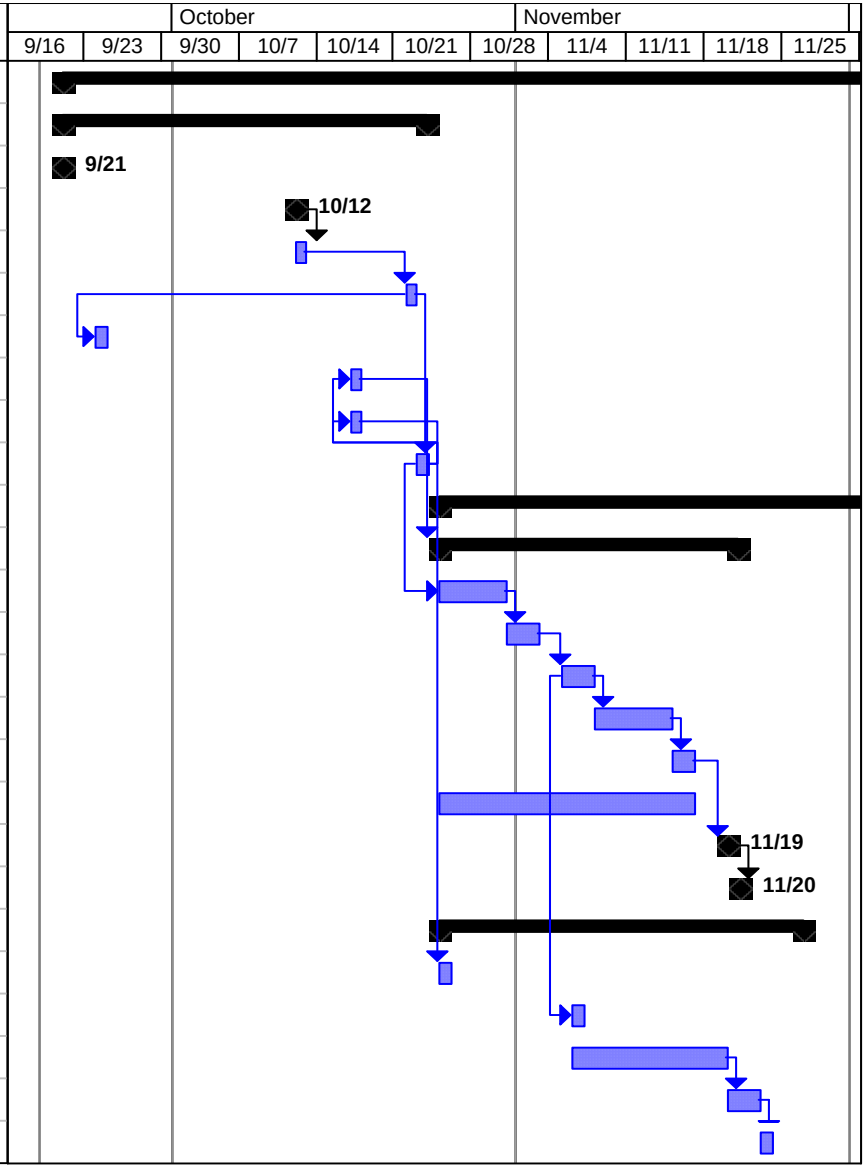


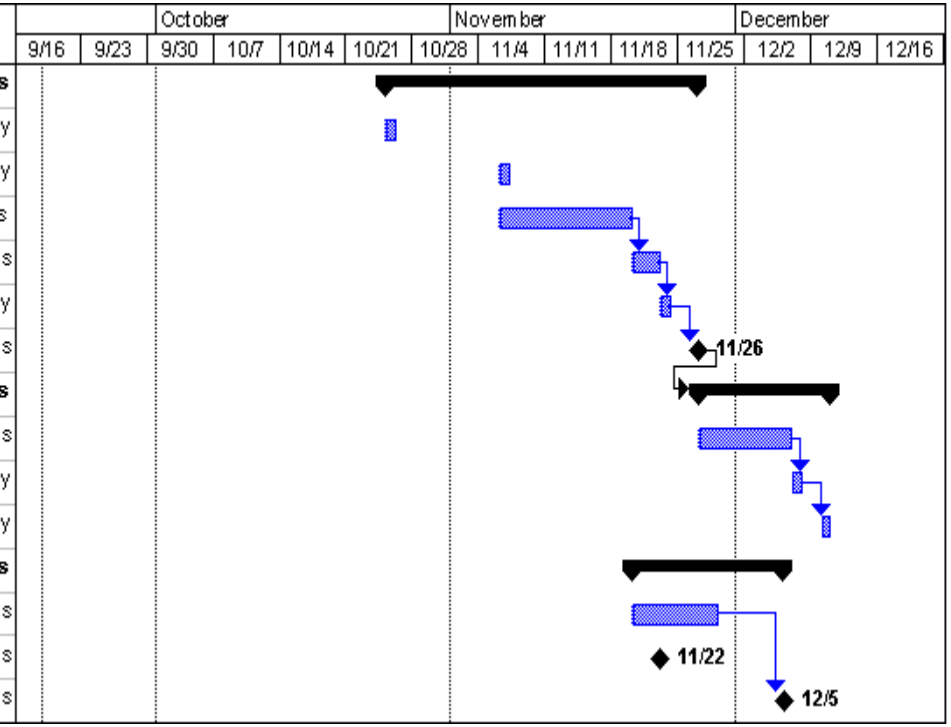
Figure 1 – Flow of Monthly MIS/DSS Process (Dashboard reports now Service Plan)

Figure 2 – GANTT Chart of Monthly Activities of DSS Update Cycle

ID	Task Name	Duration
1	**Monthly Update Proces for MIS/DSS Update**	**57 days**
2	**Perform Monthly MIS/DSS preparation**	**23 days**
3	Receive Data (Part a - Elig,Prov,Cap,MCPF)	0 days
4	Receive Data (Part b - Claims/Encounters)	0 days
5	Execute Turnaround Rpts against raw data	1 day
6	Go/No-Go for update data	1 day
7	Pkg Content Cut-off	1 day
8	Distribute Pre-Release Package	1 day
9	Final Component rpt - Go/No Go	1 day
10	Pkg Migrations Completed	1 day
11	**Perform CA Monthly Update**	**33 days**
12	**Perform DataScan Update**	**19 days**
13	Execute Customized Converts on Raw Data	4 days
14	Perform Core Edits and Case build	3 days
15	Insert new data into DSS	3 days
16	Execute Episodes of Care for update month	5 days
17	History Roll Off- DataScan DSS	2 days
18	Perform DSS Validation	17 days
19	Release DataScan DSS to UAT users	0 days
20	Release DataScan DSS to All users	0 days
21	**Perform Panorama View Update**	**23 days**
22	Prepare/Modify Catalog per changes	1 day
23	Load extract data onto server	1 day
24	Aggregate PV cubes	2 wks
25	Validate PV update	3 days
26	Copy new Db to prod area	1 day



ID	Task Name	Duration
21	**Perform Panorama View Update**	**23 days**
22	Prepare/Modify Catalog per changes	1 day
23	Load extract data onto server	1 day
24	Aggregate PV cubes	2 wks
25	Validate PV update	3 days
26	Copy newDb to prod area	1 day
27	Release PV	0 days
28	**Perform Briefing Book Update--Plan Profile**	**10 days**
29	Perform MS Access Queries, produce rpts	8 days
30	Perform Briefing Book Validation	1 day
31	Post newreports to BB server	1 day
32	**Perform Monthly MS/DSS Wrap-up**	**12 days**
33	Execute DQI report queries for release pkg	7 days
34	Conduct Post Mortem Walkthru	0 days
35	Distribute Update Release Package	0 days



1.2 Monthly Process Documentation Summaries

A brief overview of each monthly process document is presented below. The chart entitled "Monthly Processing," which follows, portrays, at a summary level, the relationship of the various monthly processes.

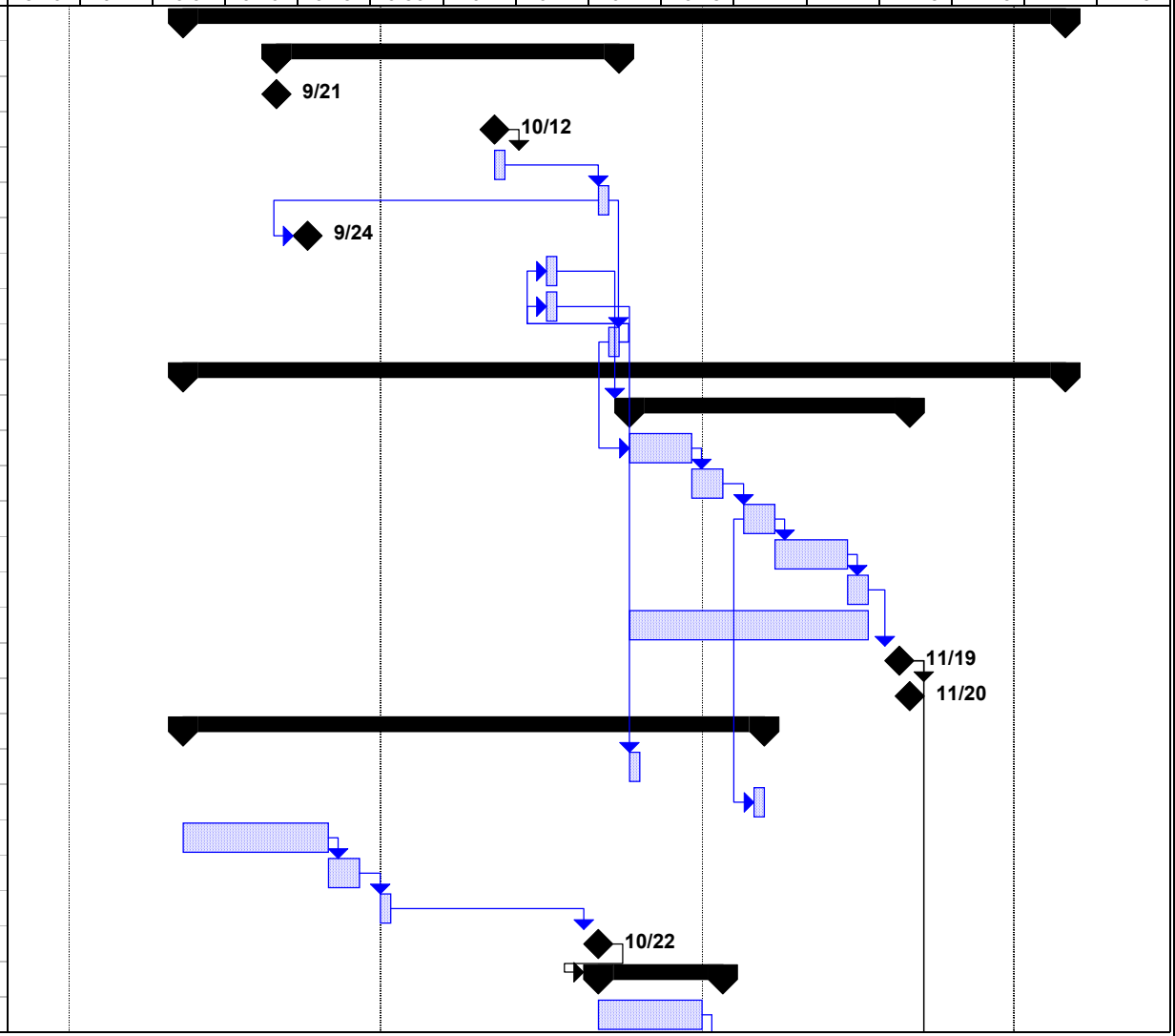
Process #	Process Name	Brief Overview
MP 1	Data Receipt	This process is executed for each submission of source data received from ITSD. The objective is to copy each file to a DHS tape and to produce turnaround reports for review. Turnaround reports are reviewed first by MEDSTAT and then by DHS. DHS provides a confirmation that the data is acceptable for inclusion in an upcoming database update.
MP 2	Release and Pre-Release Packaging	A package of information is prepared, reviewed and approved before a database build or update process begins. This 'pre-release' package of information includes key processing dates, a list of source data files (reviewed and approved in MP 1), and a list of associated IRs planned for implementation. Only after DHS approval of this pre-release package will the database update begin. At the conclusion of each update, a release package is prepared. This package includes a Summary Report of IRs actually implemented, Accounting of Records Received vs. Loaded, and Data Quality Indicators. This release package is submitted by MEDSTAT to DHS one week from the completion of each DataScan monthly update.
MP 3	Database Build and Update (DataScan)	With the pre-release package approved and all changes completed and validated (see Ad Hoc Processes), the DataScan update may begin. This update process spans 3-4 weeks. The DataScan update process begins first as data required for the update of other databases is extracted from the DataScan database.
MP 4	Panorama View Database Build	All data that is required as input to the Panorama View database update is available once the DataScan update has started its claims insert processing (this is approximately one week from the start of the DataScan update). The Panorama update process spans approximately 3 weeks. Both the DataScan and Panorama View updates are delivered first to the MIS/DSS project office for a one-day validation, then released to the general user population the following day.
MP 5	Briefing Book Update (now annual)	Briefing Book reports add analytic value to the MIS/DSS system. Each month, reports associated with one of the following categories are updated: 1st month of each quarter, Recipient Profile reports; 2nd month of each quarter, Provider

Process #	Process Name	Brief Overview
		Profile reports; 3rd month of each quarter, Plan Profile reports. Recipient and Provider Profile reports are available within one week from the completion of the DataScan update and Plan Profile reports within two weeks.
MP 6	Build Process Validation	Databases are either "built" or "updated." A database build establishes a database for the first time. Subsequent to a database build, the database is updated with new data to keep it current. A validation process has been prepared for each. Validation occurs throughout the build or update process.
MP 7	Update Process Validation	See MP 6, Build Process Validation.
MP 8	Database Reorganizations	The DataScan database is updated each month with new data and the oldest month of data is "rolled off" (deleted). Over time, the database becomes fragmented which negatively impacts database performance. Database reorganizations eliminate data fragmentation and improve overall database performance. Each month, the MEDSTAT operations team evaluates the fragmentation level and performs reorganization activities as needed.
MP 9	Operations Dashboards (now part of monthly service plan)	Operations Dashboards are a compilation of numerous metrics associated with database updates, resource utilization, and performance. These metrics are gathered throughout each month and reviewed at the second project status meeting each month.
MP 10	Help Desk and MIS/DSS System Utilization Reports	These utilization reports address metrics associated with help desk calls and application usage. These metrics are gathered throughout each month and reviewed at the second project status meeting each month.
MP 11	Resource Management (Tape Cartridges)	This process provides guidelines for ensuring consistent management of tape consumption on the project. This process also contains standards to guide the project team regarding how long to retain categories of project data.
MP 12	Resource Management (DASD)	This process describes the creation of DASD management reports used for detailing the content of each DASD pool, free space versus space used.

1.3 History

Established/Revision Date	Established/Revised By	Change Description
10/15/2001	John Mulcahy	Updated to include monthly gantt chart and individual process summary
6/29/2001	Todd Jackman	Created document

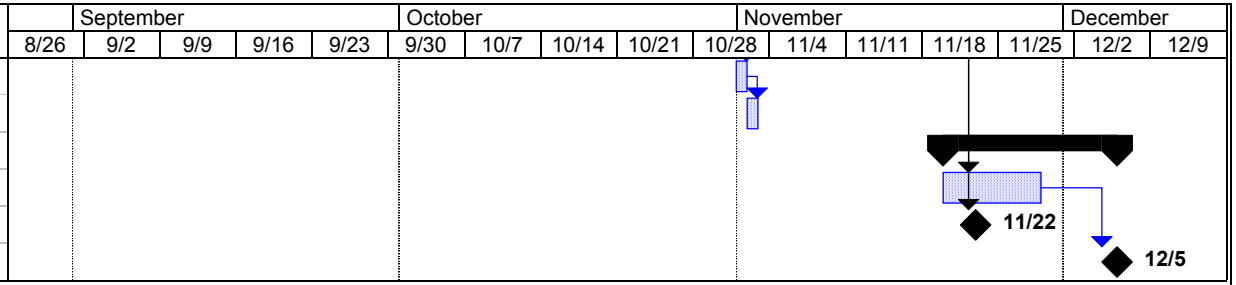
ID	Task Name
1	**Monthly Update Proces for MIS/DSS Update**
2	**Perform Monthly MIS/DSS preparation**
3	Receive Data (Part a - Elig,Prov,Cap,MCPF)
4	Receive Data (Part b - Claims/Encounters)
5	Execute Turnaround Rpts against raw data
6	Go/No-Go for update data
7	Pkg Content Cut-off
8	Distribute Pre-Release Package
9	Final Component rpt - Go/No Go
10	Pkg Migrations Completed
11	**Perform CA Monthly Update**
12	**Perform DataScan Update**
13	Execute Customized Converts on Raw Data
14	Perform Core Edits and Case build
15	Insert new data into DSS
16	Execute Episodes of Care for update month
17	History Roll Off- DataScan DSS
18	Perform DSS Validation
19	Release DataScan DSS to UAT users
20	Release DataScan DSS to All users
21	**Perform Panorama View Update**
22	Prepare/Modify Catalog per changes
23	Load extract data onto server
24	Aggregate PV cubes
25	Validate PV update
26	Copy new Db to prod area
27	Release PV
28	**Perform Briefing Book Update--Plan Profile**
29	Perform MS Access Queries, produce rpts



Project: Monthly Process Gantt
Date: Tue 6/7/05

Task	Rolled Up Task	Project Summary	
Split	Rolled Up Split	External Milestone	
Progress	Rolled Up Milestone	Deadline	
Milestone	Rolled Up Progress		
Summary	External Tasks		

ID	Task Name
30	Perform Briefing Book Validation
31	Post new reports to BB server
32	**Perform Monthly MIS/DSS Wrap-up**
33	Execute DQI report queries for release pkg
34	Conduct Post Mortem Walkthru
35	Distribute Update Release Package



Project: Monthly Process Gantt
Date: Tue 6/7/05

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Rolled Up Split
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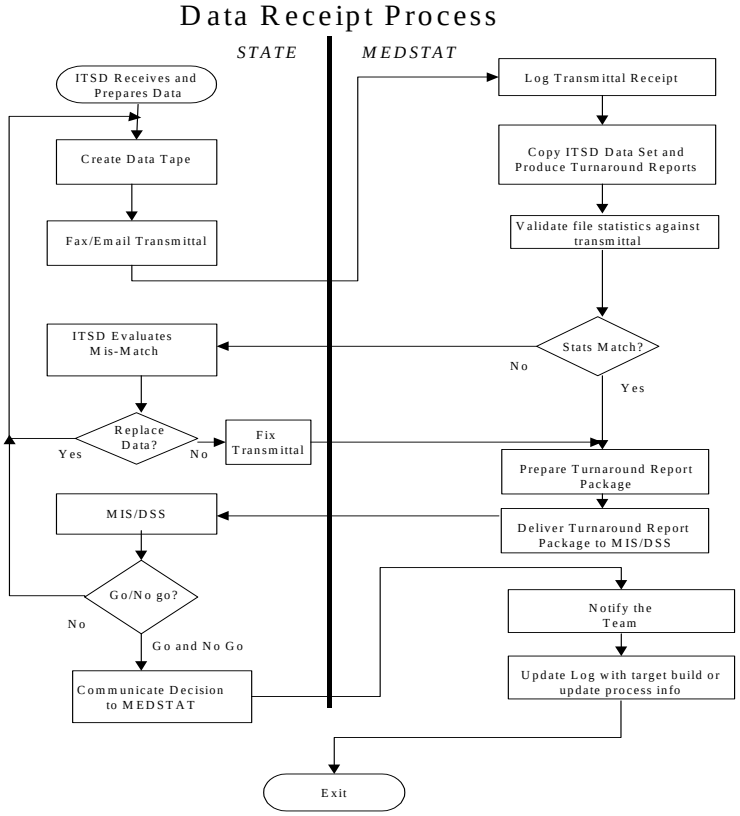
1. Data Receipt

1.1 Overview

MEDSTAT has implemented a policy regarding the request, receipt and management of project data. The procedure described herein is used to enforce the management policy which guides the data receipt and logging process between the State and MEDSTAT for the MIS/DSS project. While the procedure is an internal MEDSTAT project procedure, the Department participates in the entry, exit, and review points.

The following process flow chart is a summary of the Data Receipt Process for ITSD provided data:



1.2 Purpose

This procedure lists the necessary steps to receive, validate and accept project data for the following purposes:

Data Investigation
Test Database Builds
Production Database Builds
Production Database Updates

Data that is submitted for the purpose of Data Investigation is used during the development phase(s) of the project. This allows data managers, consultants, and developers a preliminary look at new data sources, data values, and formats for a given phase. This ensures that all new data issues have been considered in the Phase design and database specification. It is assumed that data provided for data investigation is not used for any other purpose. It is not used as input to a production database build or update. It is recommended, however, that this assumption be validated with the DHS project team on a case-by-case basis.

Data submitted for use in the construction and update of the Production Database must have previously been reviewed through a phase Data Investigation process. Any new data sources, data values and formats present in the production data submission and not previously investigated as phase Data Investigation data could have an adverse impact on the quality of the production data.

1.3 Scope

This process will be executed for every dataset of raw source data received by MEDSTAT from the State.

1.4 Responsibility and Enforcement

It is the responsibility of the Operations Manager to ensure that this process is completely executed for each data feed.

1.5 General Considerations

Any data that is submitted for a purpose other than those listed above must be handled through an exception procedure which requires management intervention.

Turnaround reports currently exist for all data types except the following:

Medical/Dental Combined Provider File (will be developed in the future)
Provider File for Panorama View (used to generate bed counts only)
Census Data for Panorama View

There is a standard naming convention for datasets that are prepared by ITSD and for those datasets created when MEDSTAT copies these datasets. The following provides that naming convention as agreed to in IR 1390. It is also critical that the dataset name

and the text description of the data on the ITSD transmittal is consistent. There will be up to 8 potential nodes in each dataset name (6 minimum) as described below:
HD.HCP7011.MEDSTAT.P#DIU.MMMYY.MMMYY.FEED.REVISION
Node 1: Indicates the creator of the dataset. HD. represents ITSD and HM. represents MEDSTAT.
Node 2-8 will be the same for the dataset provided by ITSD and the dataset resultant from the copy at MEDSTAT.
Node 2: HCP7011. The ITSD billing identification.
Node 3: MEDSTAT. A Constant.
Node 4: Phase and usage, formatted as P#(DI)(U)(SUP).Where # equals the Project Phase (filters used) for which this data was established (P represents Phase),Where DI is used only when the data is for data investigation purposes. This data will be submitted again in another feed for production usage.

Where U is used only if the data is being provided for a monthly update.

Where SUP means data that is being supplied that is data missing from previous feeds. Applies only to CAP data.
This should be rarely used. DHS and MEDSTAT should discuss ramifications prior to this data feed being generated.
Node 5: MMMYY, when a monthly update, this is the month and year for which the update is applicable. If there is a range of data such
as is applicable in a submission of many months of data, then this is the starting date in the range. Node 5 will include the

ending date in the range.
Node 6: MMMYY, representing the month and year for ending date if the dataset is for a range of months. This node would be used

only when data is provided for more than one month.
Node 7: DataFeed Type (Other feed types may be added over time), Where:

ELIG=Eligibility (MEDS)
CLAIMS=Claims/Drug
PROVCOMB=Medical and Dental Providers Combined
PROVMC=Managed Care Provider
CAP=Capitation
MCPE=Managed Care Plan Enrollment
MCPM=Managed Care Plan Member
MCPF=Managed Care Plan Financial

Node 8: Used only when resubmitting data when previous submission is being replaced. Format is V0#, where # is:

1=1st Resubmission
2=2nd Resubmission
3=3rd Resubmission, etc.

A few examples are presented below:

The monthly update file being sent to MEDSTAT on 6/1/99 is Phase 5 monthly update data for the month of March 99 that will be used by MEDSTAT for data investigation. The Claims dataset name would look like the following:

HD.HCP7011.MEDSTAT.P5DIU.MAR99.CLAIMS

If this dataset had to be resubmitted:

HD.HCP7011.MEDSTAT.P5DIU.MAR99.CLAIMS.V01

If this was not a data investigation dataset, but was intended for normal production usage:

HD.HCP7011.MEDSTAT.P5U.MAR99.CLAIMS

If this is an eligibility file for the April 99 monthly update using Phase 5 filters, it will have a 4-month date range represented as follows:

HD.HCP7011.MEDSTAT.P5U.JAN99.APR99.ELIG

The claims that ITSD will deliver 7/30 will have the following convention as it includes many months of claims data (it is not for a monthly update):

HD.HCP7011.MEDSTAT.P5.DEC96.MAY99.CLAIMS (This may not be the actual date range for this deliverable, it is just used as an example).

A supplemental file that is not for a specific month or range of months, but is a submission of data that was missing from previous submissions would have the following format:

HD.HCP7011.MEDSTAT.P5SUP.MAR99.CAP

The file name after MEDSTAT copies the ITSD dataset will be identical to the ITSD supplied dataset except for the first node which would be changed to HM when making the copy.

HM.HCP7011.MEDSTAT.P5.DEC96.MAY99.CLAIMS

1.6 Skill Requirements

Junior operations analyst with some JCL and TSO skills.

1.7 Entry Criteria

Data is currently received from two departments within the Department of Health Services.
Department of Health Services (DHS), Licensing & Certification Division
Bureau of US Census (Web Site)
Information Technology Systems Division (ITSD)

The Licensing and Certification Division supplies a single data feed of providers which is used to derive bed counts in the Panorama View product. The MIS/DSS project office is responsible to maintain contact with the Licensing & Certification Division for the purpose of obtaining updates to this data. The MIS/DSS project office will obtain the update (expected on an annual basis) and provide a copy to the MEDSTAT operations team along with a transmittal form. The medium for this data is a 3.5" floppy diskette.

The Bureau of US Census produces census data that is input to the Panorama View build/update activity. The PV development team downloads the data and runs it through a DataProbe script to put it in the correct format. The data is then loaded to the PV server for inclusion in a build or update. The Panorama View product owner on the project will be responsible to check the Bureau of Census web site for the purposes of doing reasonability testing.

The Information Technology Systems Division (ITSD) is responsible for supplying multiple data feeds for both the MIS and DSS systems. ITSD is responsible to notify the MEDSTAT project production control team of data availability. ITSD receives data from various sources and prepares the data for use by the MEDSTAT development and production teams. This includes creating the appropriate data sets and ensuring that the data sets are available in the HWDC system catalog.

Once ITSD has completed the data preparation and has cataloged the data sets, a data transmittal is prepared identifying the following information:

Type of Data
Date Range of Data
Technical Information
Logical Record Length
Block Size
Recording Mode
Label Type
Compressed Data Indicator
Density
Format
Data set Name
Number of Records
Total Dollar Amount (Not applicable to all feeds)
Volume Serial Number(s)

Ideally, each transmittal would also identify a count and dollar value of records dropped during the ITSD/EDS processing that would provide the project with a more complete picture. The transmittal is then faxed by ITSD to MEDSTAT at (916) 561-7001. Once the transmittal has been faxed, ITSD will then immediately follow up by sending an email copy of the transmittal to *"production_team@medstat.com"*. The email will serve as a history log of transmittals and will enable MEDSTAT to upload them for storage and easy reference on the IBM mainframe. Both the fax and the email should be addressed to the production team. Although both fax and email are received, the fax will serve as the entry criteria for MEDSTAT in this process.

Data receipt for Data Investigation and Phase Builds are scheduled on a mutually agreeable date for both the State and MEDSTAT. The standard schedule for monthly update data is contained in the table below (actual dates may vary a little from this chart). The transmittal is expected by MEDSTAT's Operations team on the agreed to date. If data is not received on the agreed to date, the MEDSTAT Operations Manager will notify the appropriate parties to ensure data is received promptly or to renegotiate the date of receipt.

Monthly Data Receipt Schedule

Data Feed	Part A or B	Delivered to ITSD by:	Delivered to MEDSTAT by:
Eligibility	A	4th Friday (Current Mth)	3rd Friday (Next Mth) EOB
Plan Capitation	A	2nd Friday (Next Mth)	3rd Friday (Next Mth) EOB
Plan Financials	A	2nd Friday (Next Mth)	3rd Friday (Next Mth) EOB
Provider			
Medical/Dental	A	2nd Friday (Next Mth)	3rd Friday (Next Mth) EOB
Mgd. Care	A	2nd Friday (Next Mth)	3rd Friday (Next Mth) EOB
All Claims	B	4th Friday (Next Mth)	1st Friday (Mth after Next) EOB

This schedule is published as a point of reference for the intended monthly flow of data. In advance of a monthly data deliverable, more specific dates may be defined and will be communicated to the MEDSTAT staff by ITSD through the email distribution of what ITSD calls a 'Cheat Sheet'. This is a document published in advance of each data feed describing the details about the data as well as the delivery date. With the 'Cheat Sheet', the MEDSTAT operations team is notified of an exact expectation of when data feeds will be provided by ITSD, the filtering criteria used by ITSD, and other pertinent information. This document is sent by ITSD to the MEDSTAT email address "*production_team@medstat.com*".

1.8 Procedure Steps

The detailed procedure steps in this section pertain to the responsibilities held by the MEDSTAT project team members. These steps appear in the right column of the process chart found in the overview section of this document. The State's responsibilities are included in the overview chart as reference only and will not be described in detail in this document. The first step in this procedure starts when a data transmittal is received from DHS or from ITSD. Please see the Subject Examples section of this document for examples of these logs.

1.8.1 Log Transmittal Receipt

This step is entered when Operations receives the transmittal from the State. The log is maintained in a Microsoft Access database on the MEDSTAT project office LAN. It is located in "*W:\CA_MED\OPERATIONS\OPERATION TOOLS\data_receipt_log.MDB_12*". A picture of the Access Database Screen is located in the Samples section of this document. The following data items are recorded in the log:

1. Date Received: Data transmittal received.
2. Type: Data Type. Valid values are:
   ELIG=Eligibility
   CLAIMS=Claim/Drug
   MPROV=Medical Provider
   DPROV=Dental Provider
   PROVCOMB=Medical/Dental Provider Combined
   PROVMC=Managed Care Provider
   CAP=Capitation
   MCPF=Managed Care Plan Financials
   MCPE=Managed Care Plan Enrollment
   MCPM=Managed Care Plan Member Months
   BEDS=Bed Count data
   CENSUS=Census Data
3. Data Set Name: Name of ITSD Data Set as reported on the transmittal form.
4. Volumes Received (VOLSER separated by commas): Tape Volume ID(s) on tapes received from ITSD as reported on the transmittal form.
5. Record Count: Number of records on the ITSD source tape as reported on the transmittal form.
6. Data Set Copied: Name of dataset assigned by MEDSTAT to the dataset when copied from the ITSD dataset.
7. Volumes Used (VOLSER separated by commas): Tape Volume ID(s) for the copied tapes.
8. Date Copied: Date the ITSD tape was copied.
9. Records Copied: Number of records on the MEDSTAT copied dataset.
10. Active: Yes=Most current dataset, not replaced by a subsequent feed.
    No=Dataset has been replaced by a subsequent feed.

11. Difference: When the record count on the transmittal versus the number of records copied do not match, the difference is recorded here.
12. Data Manager Notified: No=Data Manager will not be notified to validate this data feed because of known problems with the feed. Blank=Default at time of creating the record. Yes=Data Manager has been given the Turnaround Package for review.
13. State Response: Pending=default value. No response yet from DHS in regards to their validation of the Turnaround Reports and their report of either a go or no-go decision.
14. Date State Response: Date State completes review of Turnaround Report and provides MEDSTAT with a go or no-go decision.
15. Data Received: Occasionally, MEDSTAT will receive a transmittal from ITSD but the data is not yet ready when an attempt is made to copy the ITSD dataset. It has not yet been transferred from the shared environment to the S4 environment. The field contains the date the data is available to MEDSTAT, if different from the transmittal date.
16. Table for recording the Pre-Release Package(s) into which the data will be included. More information about this part of the process is included in the process step named 'Build/Update Data Identification.'

The initial log entry is made when the transmittal is received. The Date Received, Type (Data source type), Data set name, Volumes received, and record count are filled in when the record is created. The Data set copied, Volumes Used, Date Copied, and Records Copied are filled in when the copy is complete in step 2. The Active field is only important if there is a replacement data set sent by the state due to a problem with the original. In this case, the Active field is set to no and a second log entry is started with the same data set name. The difference field is used to record the difference in the record count received on the transmittal and the records copied. The Data Manager notified field is set to yes when the DM team is presented with the Turnaround Package for their review. The State Response field indicates if the turnaround reports passed the State's review. This field is not updated until the Operations team is notified by the State of the status.

The current data receipt schedule indicates that all data sources will be received once a month. If a data source is not expected for a given month, the ITSD 'Cheat Sheet' will indicate that there will not be data for that particular data source (refer to Appendix A for an example of an ITSD 'Cheat Sheet'). It has been agreed that effective May 1, 1999, ITSD will create an empty data set when there is no data for a feed. See IR 1344.

1.8.2 Copy Files and Produce Turnaround Reports

When Operations completes all log entries in step 1, the Operations Team copies the ITSD tape and produces the associated turnaround reports. The Operations Team ensures that the name of the output data set and the destination of the output reports are set in the job. The high level qualifier used for all MEDSTAT tape copies from ITSD is

"HM.HCP7011". Listing all data sets in the catalog with this high level qualifier will display all of the data that has ever been received from the State.

Operations will print one copy of each turnaround report for use in the next step. The turnaround reports (soft copy) will be kept on the LAN for the length of the project. The soft copy on the mainframe will be deleted after one month.

1.8.3 Validate File Statistics Against Transmittal

After the turnaround reports are produced, Operations will compare the record counts of the copied data sets with the same information on the transmittal.

If a discrepancy is found, the MEDSTAT Operations Team will contact ITSD and the MIS/DSS Project Office concerning the issue. The Operations Team will also email the MEDSTAT Core Team to inform them of the issue.

ITSD will then investigate the issue to determine if a new tape needs to be produced. If a new tape is needed, the MEDSTAT team will simply wait for the new transmittal. When the new transmittal arrives, Operations will enter the new transmittal into the log. Then, Operations will set the Active field to "NO" for the original data set. The corrected dataset will carry the same dataset name but have appended to the original name, a revision indicator (see the General Considerations section of this procedure for a presentation on dataset naming conventions). This is how Operations will know there is a replacement tape for an earlier submission.

If ITSD determines the cause of the data set statistics mismatch and concludes that a new tape is not needed, ITSD will supply a corrected transmittal indicating the accurate statistics. The MEDSTAT Ops team will continue with the existing tape.

The communication mechanism used when a transmittal statistics mismatch occurs is the telephone. MEDSTAT will contact ITSD first and also give notice to the MIS/DSS project office. This process is not formalized due to the insignificant number of issues that have occurred in the history of the project. With dozens of tape receipts already completed, this problem has occurred fewer than five times.

1.8.4 Deliver Turnaround Reports to MIS/DSS

A checklist for each type of turnaround report was developed by the Data Management team to aid in the validation of data produced by ITSD. The checklists are very high level and check a minimal amount of items. A sample of a checklist may be found in the Sample Examples section of this document.

Checklists and turnaround reports for multiple data feeds may be sent to DHS together. Datasets typically go through the Data Receipt process as a group in the same manner in which they were sent by ITSD to MEDSTAT. If two data transmittals are received on

the same day from ITSD, then generally the associated datasets will both pass through the data receipt process at the same time. The documentation returned to the MIS/DSS team as part of the Data Receipt process consists of the following (an example of each is included in the Subject Samples section):

1. Cover Letter. This is a form letter that introduces to the State MIS/DSS team the Turnaround package.
2. Inventory Attachment. A form listing each of the data sets included in the documentation for which MEDSTAT will be expecting DHS approval. This form is then used by DHS to ensure that they have received a turnaround report for each of the datasets listed on the form and then to acknowledge receipt by signing and sending back the form to the MEDSTAT Production team.
3. Transmittal. Copy of the transmittal received from ITSD.
4. Turnaround Report Checklist. Checklist for manually capturing characteristics about the data feed.
5. Turnaround Report. A computer generated report of basic information related to the data feed.

The following steps are used to complete the package before it is ready to send to the State:

1. Operations prepares a Cover Letter and Inventory Attachment.
2. Operations places the cover letter in the correspondence drop file and the MEDSTAT Office Manager will assign a Library Filing Number and then print the letter on MEDSTAT letterhead (3 copies) and return these letters to Operations.
3. Operations makes copies of the turnaround reports and checklists.
4. Operations will prepare three stapled packages with the pages in the following sequence: Cover Letter, Inventory Attachment, Transmittal, Checklist, Turnaround Report (repeat Transmittal, Checklist, and Turnaround Report for each data source included in the package).
5. Deliver original to the MEDSTAT Administrative staff for inclusion in the project files.
6. Deliver one copy to the Data Management team.
7. If the package is less then sixty pages, the MEDSTAT Ops Team faxes a copy to the MIS/DSS team as soon as possible. If the package is more then 60 pages, it must then be delivered to the MIS/DSS project office. In either case, delivery of the package must have high priority to meet the one day turnaround standard. After faxing this copy, the hardcopy is filed in the operations area where all Turnaround packages are archived.
8. Upon receipt of the faxed package, the MIS/DSS team will sign and date the Inventory Attachment and fax it back to MEDSTAT at (916) 561-7001.

9. When the MIS/DSS team has decided the turnaround report is valid or invalid, they will email (Production_Team@medstat.com) to MEDSTAT a formal notification that the data may be used (or not) in a build or update process.
10. When the Operations team receives the formal notification, they will update the State Response field within the Data Receipt Log database.

The time standard for MEDSTAT to deliver the Turnaround Report package to the State is one business day from the receipt of the data from ITSD. The package will be faxed to the MIS/DSS project office to meet the time standard.

When the data is not in an immediate critical path for a build or update, the MIS/DSS project team will have up to two business days to respond with a go/no-go decision. When the data is in an immediate critical path situation, the decision must be made in less time. In this case, the formalities in the above process must still be followed but the process can be expedited to match the urgency.

In any case, the build or update will not begin until a written 'go' decision is received from the MIS/DSS team for each data set.

1.8.5 Notify the team

Once the State has reviewed the reports, they will notify MEDSTAT of the GO/NO-GO decision for each turnaround report received. If the decision is to GO, then that data is cleared to be used by the MEDSTAT project team. If a NO-GO decision is made, MEDSTAT will wait for the replacement data and update the data receipt log to indicate the State has not approved the turnaround report. In this case, if a build or update is dependent upon this data before it can begin, the timetable for the build or update will not begin until the data is given a 'go'. In either instance, GO or NO-GO, the Operations Team will notify appropriate project team members of the decision.

1.8.6 Build/Update Data Identification

Once data has been approved by the State, it must then be targeted for use in one or more build or update releases. A single receipt may be utilized in multiple builds/updates. The Data Receipt Log database supports the assignment of a given receipt to multiple builds and/or updates. This is a manual effort to identify the possible build and updates into which the data receipt will be included. The Microsoft project plan notes for each database build and update, the date range to be included. Using this as a guide, the assignment to build/updates can be made. The database version is identified and recorded at the same time the Operations Team member records the "GO" decision in the Data Receipt Log for each given data set. The Operations Team member will use the documented build/update date ranges and the project plan to determine which build or updates the data will be used within. This assignment to a series of builds or updates is validated which each Pre-Release Package as the this package contains the list of datasets applicable to the build/update. A report can then be run at anytime by anyone on the

project to determine the input data for any given build or update. Even though the assignments to a database build/update has been made and captured within the Data Receipt Log database, the list of input datasets is again validated prior to each build or update as part of the Pre-Release Package process.

In the event the Operations Team cannot determine which database version the data will be used within, they will contact the Implementation Manager for guidance.

1.9 Exit Criteria

After review of the Turnaround reports, the process is exited via two possible scenarios:

1. The data is found to be acceptable for continuation into the conversion process, or
2. The data does not look as expected (such as the volume thresholds of data within processing data range not met or exceeded).

If the data is considered acceptable, the Operations Team does not inform project team members.

If the data is not acceptable, or if there is an overdue response pending from the Department, the Operations Team notifies the Operations Manager and the Implementation Manager with the expectation that the Implementation Manager will perform the necessary followup with the Department to correct the situation. No processing begins until all data for the build or update has been given a 'Go' by the Department and the Pre-Release Package has been approved by them. See the process named Pre-Release Packaging.

1.9.1 Exit Exception Criteria

Any exceptions to the above exit procedure requires the authorization of the MEDSTAT Operations Services Manager.

If conditions exists which could affect the schedule, or the opportunity exists to adversely affect the production database, these conditions must be brought to the attention of the MEDSTAT Project Director for resolution.

1.9.2 Exit Exception Handling

At a minimum, process steps 1.8.1, Log Transmittal Receipt, through 1.8.3, Validate File Statistics Against Transmittal must be executed for a dataset before it is used as input to a production database build or update. The MEDSTAT Operations Manager must notify the DHS project director that an exception is being followed.

1.10 Forms and Subject Examples

See attachments

1.11 Reference Material

1. Maintenance and Administration Guide
2. Release Package Process
3. Data Receipt Roles and Responsibilities Matrix

	Task	Role Responsibility	Comments
1	Data Tape Creation & Cataloging	ITSD	With the exception of the Bed Count data from Licensing and Certification (provided to MEDSTAT by the Department) and the Census data from the Bureau of Census (obtained through web site by the MEDSTAT Panorama View product owner), ITSD is the provider of source data to MEDSTAT.
2	Transmittal Creation/Delivery	ITSD	The Department provides the transmittal for Bed Count data and the Panorama View product owner provides a transmittal for the Census Data.
3	Transmittal Logging	Operations	
4	Data Receipt Schedule Monitoring	Operations	Monitor the data delivery schedule on a weekly basis to ensure data is being received per the schedule. If not, notify appropriate parties of delinquencies.
5	Tape Copy & Turnaround Report Creation	Operations	
6	Validate Transmittal Statistics	Operations	
7	Transmittal Statistics Issue Resolution	ITSD	If the MEDSTAT Operations team finds discrepancies in the transmittal, ITSD is notified. The ITSD team then investigates and resolves any issues and notifies the MEDSTAT Ops team about how to proceed.
8	Produce hard copies of the Turnaround reports and copy for distribution and filing.	Operations	
9	Deliver Turnaround Reports to State	Operations	Fax
10	Complete the Turnaround Reports Checklist	MIS/DSS Staff	State will use the checklists to analyze the turnaround report. They will complete the check lists to determine if the data can be used by

	Task	Role Responsibility	Comments
			MEDSTAT.
11	State notifies MEDSTAT of their Go or No-Go decision for each file.	MIS/DSS Staff.	When the State has completed their review of the turnaround report, they will reach a conclusion about using the data file in MEDSTAT's process. The decision will be a "go" or "no-go" on the usage of the file. This information should be fed back to MEDSTAT within two business days of receiving turnaround report. If the data file is being used in a critical path task, the State may need to respond sooner.

1.12 Policy History

Established/Revision Date	Established/Revised By	Change Description
10/01/98	Carol Diephuis	Established
03/09/99	Todd Jackman	Bring process up to date. Plus, Data Receipt Log now accepts a one-to-many datasets to database relationship.

Attachment 1. Sample ITSD Data Transmittal to MEDSTAT

California Department of Health Services
Information Technology Services Division
Medi-Cal MIS / DSS Project

Tuesday, February 16, 1999

To: The MEDSTAT Group
1760 Creekside Oaks, Suite 280
Sacramento, CA 95833

From: California Department of Health Services
Data Systems Branch
744 P Street, Room 360
Sacramento, CA 95814

Re: Phase 4 January 1999 Monthly Update Data – Managed Care Plan Capitation

The file listed below has been sent to the MEDSTAT OS/390 System (S4) at the Health and Welfare Data Center. The file consists of medical Managed Care plan capitation data from January 1999.
The tape is on loan from HWDC. Please return the tape no later than 30 days from the day received.
TECHNICAL INFORMATION:

1. LOGICAL RECORD LENGTH : 56
2. BLOCK SIZE : 32760
3. RECORDING MODE : Fixed Block
4. LABEL TYPE : Standard IBM
5. COMPRESSED DATA (y/n) : Yes
6. DENSITY : IBM 3490 Cartridge, 36 Track with Data Compression
7. FORMAT : EBCDIC

DATASET NAME : HD.HCP7011.MEDSTAT.PHS4UJAN.MCP.CAP
NUMBER OF RECORDS : 911
VOLUMES : 717475

Attachment 2. Sample Data Receipt Process Checklist

Data Receipt Procedure Steps

Complete	Incomplete	Procedure Steps
☐	☐	1. Log transmittal receipt in Data Receipt Log Database.
☐	☐	2. Copy files and produces turnaround reports.
☐	☐	3. Validate File statistics against the transmittal.
☐	☐	4. Prepare turnaround report package for delivery

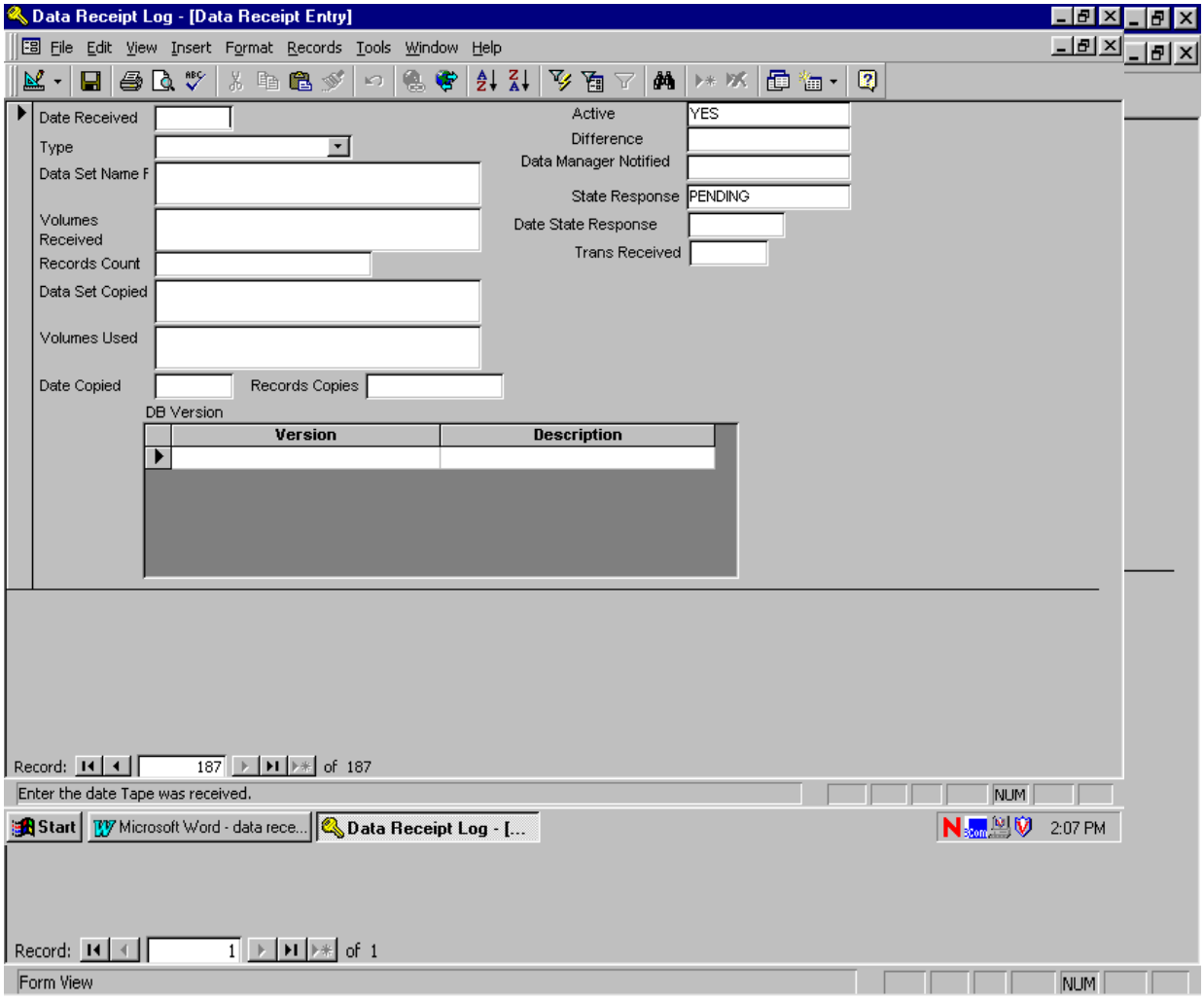
a) Prepare the cover letter and inventory attachment.
b) Fax a copy of the inventory attachment to ITSD as proof of receipt of the data.
c) Make copies of the turnaround reports and checklists.
d) Prepare three stapled packages with the pages in the following sequence: Cover Letter, Inventory Attachment, Transmittal, Checklist, and Turnaround Report (repeat transmittal, checklist, and turnaround for each data source included in the package).
e) Include one copy in the operation team files.
f) Deliver original to the MEDSTAT Administrative Staff for inclusion into project files.
g) Deliver one copy to the Data Management Team.
h) If the package is less then sixty pages, the MEDSTAT Administrative Team faxes the original to the MIS/DSS team as soon as possible. If more than 60 pages, it must then be delivered to the MIS/DSS project office.

Upon receipt of the faxed package, the MIS/DSS team will sign and date the Inventory attachment and fax back to MEDSTAT at 916-561-7001.
When the MIS/DSS team has decided the turnaround reports is valid or invalid, they will fax to MEDSTAT (same number as above) a formal notification that the data may be used (or not) in a build or update process.

i) Receives the formal notification from MIS/DSS and update Data Receipt Log database

☐	☐	5. Notify team members on GO/NO GO decision.

Attachment 3. Sample Data Receipt Log (Screen Picture)



Attachment 4. Sample Turnaround Report Cover Letter

(The following is an example of the cover letter that will be sent with all turnaround reports to the state. This letter must be printed on MEDSTAT letter head. A copy of the letter must be filed in the Correspondence Log at the MEDSTAT project office.)

<Enter Today's Date>

Department of Health Services
MIS/DSS Project
714/744 P Street
Sacramento, California 98234-7320

Subject: Turnaround Report Package

MIS/DSS Project Team,

An integral part of our data receipt process is to prepare a set of information upon receipt of each data feed from ITSD, that you can utilize in making an assessment of the acceptability of the source data for use in a production database build and/or update. This set of information, prepared for each data set received from ITSD is called a Turnaround Report Package. The package includes a Turnaround Report Inventory Attachment, which is a list of Data Sets included in the package, and then for each data set:

1. Turnaround Report Checklist—Helpful checklist for reviewing the acceptability of the source data
2. Turnaround Report—Summary of data set content.

The primary objective of producing a Turnaround Report Package is to facilitate early identification of quality data quality issues, reducing the likelihood of re-work due to data related problems.

Upon receipt of this package, please sign and date the Turnaround Report Inventory Attachment page and fax it back to MEDSTAT at (916) 561-7001. This serves as a confirmation that the package was received successfully.

Please provide written feedback (approval or disapproval) for each Turnaround Report in this package within two business days from receipt. An email reponse to Production_Team@medstat.com is acceptable. On the rare occasions that approval or disapproval is required in less than 2 business days, that will be noted on the Turnaround Report Inventory and there will also be telephone dialog.

Sincerely,

MEDSTAT Operations Services Team

Enclosures

Attachment 5. Sample Inventory Attachment

Turnaround Report Inventory Attachment

Date _____

The following is a list of data sets being addressed by this Turnaround Report package. Please find attached one Turnaround Report (Copy of the ITSD Transmittal, Turnaround Report Checklist and the Turnaround Document) for each data set listed. After confirming that the package does in fact contain a Turnaround Report for each data set, please sign and date the bottom of this page and fax to MEDSTAT in care of the Production Team at (916) 561-7001. Thank you.

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Data Set _____

Name (Print) _____ Title _____

Signature _____ Date_____

Attachment 6. Sample Turnaround Report Checklist

Data Received on: _____ Completed/Reviewed By: _____
Intended Purpose:

_____

_____

Operational Checks

Passed Failed Criteria

☐ ☐ The number of records read matched the tape transmittal form.
Comments:

_____

_____

Data Content/Quality Checks

Passed Failed Criteria

☐ ☐ **AID CODE**: The aid codes received are all valid values. Refer to the "Aid Code" table in the Data Content Indicators/Expectations Section.
Comments:

_____

_____

☐ ☐ **AID CODE**: Depending on the mix of the claims in the tape, the percentages for some of the heavier hitting aid codes are in range. Refer to the "Aid Code" table in the Data Content Indicators/Expectations Section.
Comments:

_____

_____

☐ ☐ **COUNTY**: We received data for all of the expected counties. Refer to the "Counties" table in the Data Content Indicators/Expectations Section.
Comments:

_____

_____

☐ ☐ **PLAN CODE**: The plan codes received are all valid values. Refer to the "Plan Code" table in the Data Content Indicators/Expectations Section.
Comments:

_____

_____

☐ ☐ **PLAN CODE**: Depending on the mix of the claims in the tape, the percentages for some of the heavier hitting plan codes are in range. Refer to the "Plan Code" table in the Data Content Indicators/Expectations Section.

Comments:

☐ ☐ **CLAIMS HEADERS BY YEAR AND MONTH**: We received data for all months in the selection range.

Comments:

☐ ☐ **TOTAL BILLED AMOUNT BY YEAR AND MONTH**:

When we receive financial balancing information on the transmittal, this field will be used to balance against it.

Comments:

Attachment 7. Sample Turn-Around Report for Claims/Drug

MDU012 PAGE : 1

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	VALUE	COUNT/SUM	PERCENT
AID CODE	0A	6.00	.0003
	01	1,083.00	.0574
	03	1,660.00	.0880
	04	211.00	.0111
	10	26,919.00	1.4284
	13	33,531.00	1.7793
	14	4,188.00	.2222
	16	1,985.00	.1053
	17	951.00	.0504
	18	1,631.00	.0865
	20	4,622.00	.2452
	24	22.00	.0011
	26	108.00	.0057
	27	18.00	.0009
	28	72.00	.0038
	3A	5.00	.0002
	3C	212.00	.0112
	3G	2.00	.0001
	3H	9.00	.0004
	3P	539.00	.0286
	3R	38,357.00	2.0354
	30	763,792.00	40.5308
	32	103.00	.0054

33	13.00	.0006
34	290,270.00	15.4032
35	232,524.00	12.3389
36	11.00	.0005
37	14,300.00	.7588
38	90,945.00	4.8260
39	30,872.00	1.6382
4C	752.00	.0399
4K	3.00	.0001
40	12,747.00	.6764
42	58,251.00	3.0911
43	1.00	.0000
44	2,725.00	.1446
45	1,120.00	.0594
46	8.00	.0004
47	10,941.00	.5805
48	1,174.00	.0622
49	2.00	.0001
5F	3,088.00	.1638
5K	634.00	.0336
54	205.00	.0108
55	23.00	.0012
58	1,389.00	.0737

MDU012 PAGE : 2

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	VALUE	COUNT/SUM	PERCENT
AID CODE	59	10,773.00	.5716

	6C	431.00 .0228
	60	182,977.00 9.7097
	63	7,352.00 .3901
	64	9,844.00 .5223
	66	2,258.00 .1198
	67	2,812.00 .1492
	68	1,684.00 .0893
	7A	1,150.00 .0610
	7C	24.00 .0012
	7H	8.00 .0004
	72	7,880.00 .4181
	74	14.00 .0007
	76	18.00 .0009
	80	5.00 .0002
	82	23,002.00 1.2206
	83	527.00 .0279
	86	1,617.00 .0858
	87	70.00 .0037
TOTAL		1,884,470.00 100.0000

MDU012 PAGE : 3

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	CNTY	COUNT/SUM	PERCENT
COUNTY	01	49,371.00	2.6198
	02	78.00	.0041
	03	2,549.00	.1352
	04	41,698.00	2.2127
	05	4,774.00	.2533

06	3,081.00	.1634
07	101,139.00	5.3669
08	8,956.00	.4752
09	9,083.00	.4819
10	86,428.00	4.5863
11	4,624.00	.2453
12	23,485.00	1.2462
13	41,520.00	2.2032
14	1,822.00	.0966
15	149,130.00	7.9136
16	23,713.00	1.2583
17	12,723.00	.6751
18	4,350.00	.2308
19	41,390.00	2.1963
20	27,591.00	1.4641
21	6,026.00	.3197
22	2,528.00	.1341
23	14,152.00	.7509
24	58,366.00	3.0972
25	2,699.00	.1432
26	398.00	.0211
27	37,871.00	2.0096
28	7,489.00	.3974
29	6,507.00	.3452
30	9,975.00	.5293
31	13,296.00	.7055
32	2,722.00	.1444
33	4,816.00	.2555
34	590,394.00	31.3294
35	5,385.00	.2857
36	7,349.00	.3899

37	8,321.00	.4415
38	2,602.00	.1380
39	94,909.00	5.0363
40	17,105.00	.9076
41	43,116.00	2.2879
42	53,681.00	2.8485
43	3,356.00	.1780
44	150.00	.0079
45	37,055.00	1.9663
46	219.00	.0116

MDU012 PAGE : 4

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	CNTY	COUNT/SUM	PERCENT
COUNTY	47	7,905.00	.4194
	48	52,258.00	2.7730
	49	26,237.00	1.3922
	50	2,442.00	.1295
	51	12,952.00	.6873
	52	12,471.00	.6617
	53	2,674.00	.1418
	54	2,516.00	.1335
	55	8,130.00	.4314
	56	53,196.00	2.8228
	57	19,402.00	1.0295
	58	16,296.00	.8647
TOTAL		1,884,471.00	100.0000

MDU012 PAGE : 5

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	PLAN	COUNT/SUM	PERCENT
PLAN CODE	0	80,450.00	4.2691
	1	21,697.00	1.1513
	2	463,666.00	24.6045
	4	123,069.00	6.5306
	5	160,199.00	8.5010
	6	16.00	.0008
	8	166,994.00	8.8615
	9	868,380.00	46.0808
TOTAL		1,884,471.00	100.0000

MDU012 PAGE : 6

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	VALUE	COUNT/SUM	PERCENT
CLAIMS HEADERS BY YEAR AND MONTH	94/06	1.00	.0000
	95/04	2.00	.0001
	96/01	1.00	.0000
	96/02	1.00	.0000
	96/04	4.00	.0002
	96/05	2.00	.0001
	96/07	2.00	.0001
	96/08	3.00	.0001
	96/09	1.00	.0000

	96/12	1.00 .0000
	97/01	7.00 .0003
	97/02	2.00 .0001
	97/04	4.00 .0002
	97/05	7.00 .0003
	97/06	10.00 .0005
	97/07	21.00 .0011
	97/08	36.00 .0019
	97/09	51.00 .0027
	97/10	97.00 .0051
	97/11	142.00 .0075
	97/12	393.00 .0208
	98/01	829.00 .0439
	98/02	509,533.00 27.0385
	98/03	1,373,165.00 72.8674
	98/04	156.00 .0082
TOTAL		1,884,471.00 100.0000

MDU012 PAGE : 7

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	VALUE	COUNT/SUM
TOTAL BILLED AMOUNT BY YEAR AND MONTH	94/06	-1,937.00
	95/04	-540.00
	96/01	-260.00
	96/02	-660.00
	96/04	-2,190.00
	96/05	-2,541.00
	96/07	-2,710.00

96/08	-1,380.00
96/09	-310.00
96/12	-48.00
97/01	-2,746.00
97/02	-1,755.00
97/04	-2,265.00
97/05	-2,470.35
97/06	-3,475.06
97/07	-10,878.51
97/08	-11,613.08
97/09	-28,049.80
97/10	-46,937.19
97/11	-71,908.07
97/12	-179,553.53
98/01	-395,424.22
98/02	33,275,684.69
98/03	264,682,138.03
98/04	21,174.26
TOTAL	298,244,731.07

MDU012 PAGE : 8

TURNAROUND DOCUMENT FOR CLAIMS/DRUG DATE : 05/27/1998

LINES READ - 1884470 TIME : 15:38:25

DATASET NAME - HD.HCP7011.MEDSTAT.RMD400.PHASE2MU.CLAIMS.MAR98

-VALIDATION TYPE	COUNT/SUM
TOTAL INPUT RECORDS	1,884,470.00
TOTAL	1,884,470.00

Attachment 8. ITSD Cheat Sheet

	COVERED COUNTIES	COVERED AID CODES	MONTHS NEEDED	ITSD CUTOFF DATE	DATE DATA IS AVAILABLE FOR MEDSTAT	ITSD VALUE ADDED:	UPDATE OR FULL REPLACEMENT FILE
ELIGIBILITY ("A" Deliverable)	19,28,34,41,42,48	***FFP*** (01,03,04,08,0A,10,13,14, 16,17,18,20,23,24,26,27,28,30, 32,33,34,35,36,37,38,39,3A, 3C,3E,3G,3H,3L,3M,3N,3P, 3R,3U,40,42,43,44,45,46,47, 48,49,4C,4K,51,52,54,55,56, 57,58,59,5F,5G,5H,5K,5M, 5N,60,63,64,66,67,68,69,6A, 6C,6N,6P,6R,6W,72,74,76,77, 78,7A,7C,7F,7G,7H,7N,80, 82,83,86,87,8G,8N,8P,8R,8T)	January 1999 and 3 history months (Oct. 1998, Nov. 1998 and Dec. 1998)	N/A	February 16, 1999	- Full editing	Full Replacement ***(NOTE: Per Sandi, aid code 8Q was changed to 8T due to MEDS' inability to use a 'Q')***
ELIGIBILITY ("A" Deliverable)	01,02,03,04,05, 06,07,08,09,10, 11,12,13,14,15, 16,17,18,20,21, 22,23,24,25,26, 27,29,31,32,33, 35,36,37,38,39, 40,43,45,46,47, 49,50,51,52,53, 54,55,56, 57,58	***AFDC*** (30,32,33,34,35,37,38, 39,3A,3C,3E,3G,3H,3L,3M, 3N,3P,3R,3U,40,42,43,46,4C, 54,59,6P,77,78)	January 1999 and 3 history months (Oct. 1998, Nov. 1998 and Dec. 1998)	N/A	February 16, 1999	- Full editing	Full Replacement
MEDICAL/ DENTAL APPENDED PROVIDER MASTER FILE **("A" Deliverable)**	N/A	N/A	Current File	February 8, 1999	February 16, 1999	- Reformat	Full Replacement

	COVERED COUNTIES	**COVERED AID CODES**	**MONTHS NEEDED**	**ITSD CUTOFF DATE**	**DATE DATA IS AVAILABLE FOR MEDSTAT**	**ITSD VALUE ADDED:**	**UPDATE OR FULL REPLACEMENT FILE**
MANAGED CARE PLAN PROVIDER ("A" Deliverable**)**	N/A	N/A	Current Month	February 8, 1999	February 16, 1999	- Manually manipulated as needed	Full Replacement
MANAGED CARE PLAN CAPITATION ("A" Deliverable)	N/A	N/A	Current Month	February 8, 1999	February 16, 1999	- Manually manipulated as needed	Update
MANAGED CARE PLAN FINANCIAL ("A" Deliverable)	N/A	N/A	Current Month	February 8, 1999	February 16, 1999	- Manually manipulated as needed	Update
FFS ("B" Deliverable)	19,28,34,41,42,48	***FFP*** (01,03,04,08,0A,10,13,14, 16,17,18,20,23,24,26,27,28,30, 32,33,34,35,36,37,38,39,3A, 3C,3E,3G,3H,3L,3M,3N,3P, 3R,3U,40,42,43,44,45,46,47, 48,49,4C,4K,51,52,54,55,56, 57,58,59,5F,5G,5H,5K,5M, 5N,60,63,64,66,67,68,69,6A, 6C,6N,6P,6R,6W,72,74,76,77, 78,7A,7C,7F,7G,7H,7N,80, 82,83,86,87,8G,8N,8P,8R,8T)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	- Tag CIN	Full Replacement ***(NOTE: Per Sandi, aid code 8Q was changed to 8T due to MEDS' inability to use a 'Q')***

	COVERED COUNTIES	COVERED AID CODES	MONTHS NEEDED	ITSD CUTOFF DATE	DATE DATA IS AVAILABLE FOR MEDSTAT	ITSD VALUE ADDED:	UPDATE OR FULL REPLACEMENT FILE
FFS ("B" Deliverable)	01,02,03,04,05, 06,07,08,09,10, 11,12,13,14,15, 16,17,18,20,21, 22,23,24,25,26, 27,29,31,32,33, 35,36,37,38,39, 40,43,45,46,47, 49,50,51,52,53, 54,55,56, 57,58	***AFDC*** (30,32,33,34,35,37,38, 39,3A,3C,3E,3G,3H,3L,3M, 3N,3P,3R,3U,40,42,43,46,4C, 54,59,6P,77,78)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	- Tag CIN	Full Replacement
CHDP ("B" Deliverable)	19,28,34,41,42,48	***FFP*** (01,03,04,08,0A,10,13,14, 16,17,18,20,23,24,26,27,28,30, 32,33,34,35,36,37,38,39,3A, 3C,3E,3G,3H,3L,3M,3N,3P, 3R,3U,40,42,43,44,45,46,47, 48,49,4C,4K,51,52,54,55,56, 57,58,59,5F,5G,5H,5K,5M, 5N,60,63,64,66,67,68,69,6A, 6C,6N,6P,6R,6W,72,74,76,77, 78,7A,7C,7F,7G,7H,7N,80, 82,83,86,87,8G,8N,8P,8R,8T)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	- Tag CIN	Full Replacement ***(NOTE: Per Sandi, aid code 8Q was changed to 8T due to MEDS' inability to use a 'Q')***
CHDP ("B" Deliverable)	01,02,03,04,05, 06,08,07,10,11, 12,13,14,15,16, 17,18,20,21,22, 23,24,25,26,27, 29,31,32,33,35, 36,37,38,39,40, 43,45,46,47,49, 50,51,52,53,54, 55,56,57,58	***AFDC*** (30,32,33,34,35,37,38, 39,3A,3C,3E,3G,3H,3L,3M, 3N,3P,3R,3U,40,42,43,46,4C, 54,59, 6P,77,78)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	-Tag CIN	Full Replacement

	COVERED COUNTIES	COVERED AID CODES	MONTHS NEEDED	ITSD CUTOFF DATE	DATE DATA IS AVAILABLE FOR MEDSTAT	ITSD VALUE ADDED:	UPDATE OR FULL REPLACEMENT FILE
ENCOUNTERS ("B" Deliverable)	19,28,34,41,42,48	***FFP*** (01,03,04,08,0A,10,13,14, 16,17,18,20,23,24,26,27,28,30, 32,33,34,35,36,37,38,39,3A, 3C,3E,3G,3H,3L,3M,3N,3P, 3R,3U,40,42,43,44,45,46,47, 48,49,4C,4K,51,52,54,55,56, 57,58,59,5F,5G,5H,5K,5M, 5N,60,63,64,66,67,68,69,6A, 6C,6N,6P,6R,6W,72,74,76,77, 78,7A,7C,7F,7G,7H,7N,80, 82,83,86,87,8G,8N,8P,8R,8T)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	- Tag CIN - Tag Check Date - Reformat - County and aid select	Full Replacement ***(NOTE: Per Sandi, aid code 8Q was changed to 8T due to MEDS' inability to use a 'Q')***
ENCOUNTERS ("B" Deliverable)	01,02,03,04,05, 06,07,08,09,10, 11,12,13,14,15, 16,17,18,20,21, 22,23,24,25,26, 27,29,31,32,33, 35,36,37,38,39, 40,43,45,46,47, 49,50,51,52,53, 54,55,56, 57,58	***AFDC*** (30,32,33,34,35,37,38, 39,3A,3C,3E,3G,3H,3L,3M, 3N,3P,3R,3U,40,42,43,46,4C, 54,59,6P,77,78)	Current Month	February 21, 1999	Five days after the day the MFR process has been run	- Tag CIN - Tag Check Date - Reformat - County and aid select	Full Replacement

Table of Contents

1. Release Packaging

1.1 Overview

On the Medi-Cal MIS/DSS project, we have established a strategy of performing for each phase:

- Two test base build cycles
- One production full 30-month build cycle
- Multiple monthly production update cycles

Each one of these cycles is considered a release, meaning a release of the database(s) with changes implemented since the previous cycle. An inventory of the source data to be used as input and a list of the problems to be resolved and changes to be implemented for a particular cycle is called a "package" (throughout the rest of the procedure definition, reference to change will represent problems and changes). Therefore, a release package is a definition of data inputs and an inventory of the differences from one cycle to the next (in essence, a list of Investigation Requests - IRs) for an upcoming build or update. Because this release package is to be approved for completeness and accuracy prior to the start of the build that it represents, the composite set of documentation is called a Pre-Release Package. A Pre-Release package will only be generated when a process will introduce significant change. One will not be produced for routine updates. A Release Package will always be produced. Each Release Package and Pre-Release Package will be named the same as the database build version with which it is associated (i.e. 4.1, 4.2, 4.3, 4.3.1, etc).

1.2 Purpose

A Release Package, or list of IRs, which is a subset of a Pre-Release Package, will be generated for each database build and update. This Release Package will pass through a minimum of three review stages with the State prior to the start of each build or update. The objective of these reviews is to ensure agreement as to the content of the upcoming build or update. There will also be a Pre-Release Package developed for each test and production database build and update that introduces significant change. No Pre-Release will be produced for routine updates It will be reviewed and approved by the State prior to the start of a build or update.

1.3 Scope

This document will be used by any project team member responsible for the delivery of new functionality or problem resolution for the MIS/DSS.

The following process is used to inform and communicate the breadth and content of all work efforts from the MEDSTAT project team to the state project office.

1.4 Responsibility and Enforcement

The Operations manager will be responsible for generating the pre-release documents; the Analytic Support Manager creates the release document. The Core Team will ensure that all items identified for the inclusion in a particular package are completed as indicated.

1.5 General Considerations

1. All change to be implemented in a cycle must be documented as an IR. Therefore, the Change Control process and IRs are integral components of the Pre-Release Package content.
2. Each IR contains both a targeted database and a package database. The value chosen for these two fields do not necessarily equal each other. The targeted base is always a production build or update, not a test base. The package value will, more often than not, be a test base as changes are minimized in production builds. The targeted base is used mostly for targeting a phase in which the IR will be implemented and is most useful in communication with the Department. The package is the specific database build version within the phase and is most useful in scheduling and managing the workload within the MEDSTAT organization.

3. Each Release Package will have multiple milestone timeframes associated with it, with the objective of employing a final cutoff date after which no new IRs can be included. Employing a strict cutoff date helps to ensure a quality release, giving the project team the appropriate time to follow a process of implementing change. Section 1.5 of this process definition contains more detail about these milestone timeframes for developing a Release Package.

4. A Release Package, since it lists the IRs implemented in a release of the database, is a valuable input to the System Test and User Acceptance Test process. Test cases, when necessary, are added to the existing test case suite in order to validate the IRs within the Release Package.

1.6 Skill Requirements

Project management and effective communication skills are required to utilize this process.

1.7 Entry Criteria

As stated in the Policy Statement, there is a Release Package for every test and production database build and every database update. The release packaging process for a given Phase is started once a baseline is set within the project's Integrated Project Plan (IPP) for the next Phase. This IPP represents a confirmation of the x.1, x.2 and x.3 database build start dates and enables the project team to establish the necessary packaging cutoff dates.

1.8 Procedure Steps

1.8.1 Complete the Pre-Release Package Form

The Pre-Release Package Form captures information relevant to Key Milestone Dates for reviewing the package of IRs designated for a certain build and update as well as other details related to executing a build or update. Please refer to the section of this document entitled *Forms and Instructions*. This formincludes two attachments:

- A list of the source input data set (See section entitled *Identify the Source Input Data Sets)*; and
- A summary report of IRs to be implemented with the build or update. (See section entitled *Manage the IRs to be Included in the Pre-Release Package*).

1.8.1.1 Establish Pre-Release Package Key Milestone Dates

Prior to the beginning of a Phase and concurrent with setting the IPP baseline for the upcoming Phase, the MEDSTAT Implementation Manager will prepare a Pre-Release Package Form for each of the three build cycles and at least the first monthly update build cycle.

Each Pre-Release Package will have multiple milestone timeframes associated with it, with the objective of employing a final cutoff date after which no new IRs can be included (except with management approval). Employing a strict cutoff date in this way helps to ensure a quality phase, giving the project team the appropriate time to follow a process of implementing change. A table of Pre-Release Packaging Process Milestone Timeframes has been prepared for the purpose of establishing a series of review points leading to a final cutoff date where no further IRs are added. Having an agreement as to a build start date (an agreement is assumed as part of a baselined IPP), this table can be used to derive the milestone dates for pre-package review milestones and other key milestone activities. As an example, the content cutoff for a target database and finalization of a package occurs 8 weeks prior to the start of the first test database build (X.1) in a phase. The first test base in the Phase has a dependency upon the development and review of system design documentation and therefore has more milestones associated with it, as described within the table.

The first test base build of a phase will generally include more IRs than any other build as it includes not only open IRs from the previous phase, but also new functionality applicable to the new phase. Therefore, the final cutoff date must be set near the

timeframe of internal review of the phase's System Design Deliverable. With this cutoff date set appropriately, the remainder of the process can proceed, minimizing rush and risk while maximizing quality.

RELEASE PACKAGING PROCESS MILESTONE TIMEFRAMES

#	Milestone	**TB X.1** Gap Wks Before Build		**TB X.2** TimeFrame for Milestone Completion	**TB X.3** TimeFrame for Milestone Completion
1.	Preliminary: Phase IPP Baseline Set— Preliminary Phase Target Content Defined	0	12		
2.	Mid-Range: Mid-Range Target Database Content Review	2	10	Start of X.1 Build	Start of X.2 Build
3.	Final: Content Cutoff for Target Database; Finalize Package	2	8	Last day of X.1 System Testing	Last day of X.2 System Testing
4.	Draft System Design Internal Review Complete	2	6		
5.	External Walk-Through Complete	2	4		
6.	Walk-Through Open Issue Resolution Cutoff	1	3		
7.	Final System Design Submitted	1	2		
8.	Build Start Date	2	0	Milestone #3 + 2 wks	Milestone #3 + 2 wks

1.8.1.2 Complete Other Build/Update Particulars on the Pre-Release Package

Each build/update is lead by an individual who oversees the preparation for and execution of the build. The documentation for the Database Build and Update Process covers the details of preparation for and execution of the build. It is sufficient here to note that this person is the coordination focal point for the physical build.

Each build is time critical and consumes a significant amount of project resource. A number of validation points have been integrated into the process so that there is early awareness of potential problems in the build. These validation points are documented in the Database Build and Update Process. For each build, there will be a data manager appointed to perform these validation points beyond what is done by the operations team.

As our DataScan and Panorama databases contain 30 months of data, and a number of build parameters require this information, the date range is included on the Pre-Release Package form.

The input datasets for each type of data are listed on an attachment to the Pre-Release Package form.

Adhering to the project's Data Receipt process, there is assurance that all raw data has passed through a series of validations involving turnaround reports and checklists. The Y or N on the form indicates whether the data has successfully completed the Data Receipt process. As the Pre-Release Package includes the relevant source input data sets as an attachment, State confirmation of the inventory of source data for the build is assured as they provide formal approval of the Pre-Release Package.

The DataScan build region applicable to this build is noted on the Pre-Release Package Form.

Because there is not a 100% correlation between the DataScan and PMW activity. information is gathered on the form to indicate whether to build a new PMW database for a given release. As an example, PMW will be built as part of the 5.3 activity, but it will not be built again for production until the June update of the Phase 5 production database.

The remaining dates in the Other Build/Update Particulars section of the Pre-Release Package Form should also be completed.

1.8.1.3 Review the Pre-Release Package Form Information

There will be three reviews of the Release Package for each database build and update as noted within the *Release Packaging Process Milestone Timeframes* chart above (reference milestones 1-3). More detail about these reviews is contained in the section named Review of the Pre-Release Package. All reviews are conducted within the Change Control meetings.

1.8.1.4 Pre-Release Package Approval

The Pre-Release Package is not complete until a member of the MEDSTAT Core Team and a member of the DHS project management team have both signed the completed Pre-Release Package form. Signing the form signifies that the information on the Pre-Release Package form, the input datasets identified for the build/update and the IRs to be included in the build/update are complete and accurate. The approval of this Pre-Release Package is a pre-requisite to the start of the build or update.

1.8.2 Identify the Source Input Data Sets

The process for managing the source data receipts is included in the Data Receipt Process. Selecting the source data sets that are relevant to the build or update addressed by the Pre-Release Package is vital and must be done accurately. The Operations Team selects from the Data Receipt access database, a printed list of data sets applicable to the build or update. This list is reviewed by the Operations Manager and also the Implementation Manager. These managers may call upon other members of the project team to also review the proposed input data sets. With the data sets approved, the list is then incorporated into the Pre-Release Package.

1.8.3 Manage the IRs to be Included in the Pre-Release Package

This section of the procedure focuses upon the assignment of IRs to a specific target database and Release Package, and the ongoing management of the Pre-Release Package. Assumptions relative to managing the Pre-Release Package are:

1. IRs within a package, originated by MEDSTAT and confirmed through system test, can be closed. All IRs closed in this fashion will also be incorporated into the Release Package for the subsequent production build if they are closed during a test base Release Package.

2. A Release Package for the first production build of a phase will be an accumulation of all previous non-production Release Packages during the same phase (i.e., the 5.3 Release Package will be an accumulation of Release Packages for 5.1 and 5.2 and any additional change for 5.3).

3. The MEDSTAT Implementation Manager will perform management oversight of the Release Package to ensure that the package content is well defined and understood both within MEDSTAT and within the Department and that the IRs in the package are being addressed according to the schedule.

1.8.3.1 Assign an IR to a Target and Package

The Change Control Coordinator(s) (CCC) assign a target database and a Release Package at the time each new IR is reviewed, in preparation for the weekly Core Team

and Change Control meeting. When an assignment cannot be made or there is more research to be done to estimate impact or work effort, or it is a change IR and has not yet been approved by the Department for implementation, the IR remains with a target of 9.9 and with a package of 9.9 as well. The group of IRs in 9.9 is reviewed monthly as part of Change Control for possible reassignment to a specific target and package.

The target database and package should be reviewed as part of the review of high priority IRs at each Change Control meeting.

1.8.3.2 Review of Pre-Release Package

The process of managing the Release Package spans a number of weeks and involves many members of the project team. The X.1 build of a phase will typically contain the most IRs and will also include the most design adjustments for the new phase. Therefore, the Release Package reviews for X.1 will occur more weeks in advance of the build start date than the other builds and updates within the phase.

The objective is to progressively, over a series of three reviews (see #1, 2 and 3 in the chart entitled *Release Packaging Process Milestone Timeframes*), ensure a clear and concise understanding of package content. The three review points as noted in the chart are:

- Preliminary: Phase Integrated Project Plan Baseline Set—Preliminary Phase Target Content Defined
- Mid-Range: Mid-Range Target Database Content Review
- Final: Content Cutoff for Target Database; Finalize Package

It is imperative that as a project team, we identify all known IRs that should be included in the target database early, even with the first review. This enables the project teams to do the work and to implement the IR in the first test base of a phase. The risk of building a faulty X.3 database is increased when non-routine IRs are included in a release without taking advantage of two test cycles prior to the x.3 database build. Therefore, with each package review, the complexity of IRs allowed to be added is reduced so that with the 3rd check point, there would only be routine change IRs added.

1.8.3.3 Changing an IR Target and/or Package

Once an IR has been assigned to a particular Release Package, shifting to another package requires approval of the MEDSTAT Core Team. If the shift has impact upon User Acceptance Testing or there is a movement from one target database to another target database, there must be approval of the Department (e.g, moving from 5.3 to 5.3.1). All movement must be documented within the IR.

1.8.3.4 Tracking the IR for Test Readiness

Other than impact analysis, no work on an IR will be done when the target database is 9.9. A 9.9 indicates that the IR is not yet approved for implementation. When an IR is ready for test, the Status Reason should be changed by the developer to 'Pended for System Test'. This indicates that the IR has completed its path through analysis, design, development and unit test and is indeed ready for testing within the database designated by the Package. When an IR has been system tested by MEDSTAT, and the IR was originated by MEDSTAT, the IR can be closed. When the IR has been system tested by MEDSTAT, but it was originated by the State, the IR status can be changed to Recommended for Closure.

1.8.4 Preparing the Pre-Release Package

Once the IR cutoff date transpires, the list of IRs for the package is finalized and the Pre-Release Package can be prepared. At this point, changes to the Release Package's list of IRs will be minimal and will require management approval. A Summary Report produced from the IR Tool, filtered on the desired package, should be printed and attached to the Pre-Release Package. If the package represents a test base where the Department is not doing User Acceptance Testing (UAT), the package does not need to be given to the Department. If UAT is associated with the package database or it is a monthly update to the production database, a copy of the package is provided to the Department at each of the three Release Package review points and again as part of each database release to the Department.

1.8.5 Use of the Pre-Release Package as Input to Other Related Activities

The list of IRs included within the Package is pertinent information for a variety of other related activities. This list of IRs is helpful with:

- Monitoring IR progress through the development cycle and ensuring readiness for system test; and
- Ensuring that the code modified due to an IR is staged for promotion.

1.8.6 Release Package

The final step in the Release Package Process is the release of the database for end user access and the preparation of the final Release Package for the Department. The Release Package contains information about the just-released database, including table counts, data quality indicators and the list of IRs actually implemented with the update. In addition, the Release Package cover letter documents any differences between the Pre-Release Package content and the final content.

1.9 Exit Criteria

This process is exited after the completion of the final Release Package.

1.9.1 Exit Exception Criteria

None

1.9.2 Exit Exception Handling

None

1.10 Forms and Subject Examples

Appendix A contains a sample form that is to be used when preparing a Pre-Release Package.

1.11 Reference Material

- Change Control Process as contained in the Phase 2 System Design Deliverable
- Integrated Project Plan (IPP)
- Data Receipt Process
- Database Build and Update Process

1.12 Appendix A—Sample Pre-Release Package

1.13 Pre-Release Package TB 5.3.1

DataScan (v 4.2) Start/End Dt:	4/19/00-6/4/00
PV (v 2.1) Start/End Dt:	5/18/00-6/2/00
PMW (v 1999 1.2) Start/End Dt:	N/A
Briefing Book	6/5/00-6/16/00
Claims Insert Outage (Approx):	5/15/00-5/1800
History Rolloff Outage:	6/2/00-6/4/00
Release DataScan/PV to DHS:	06/5/00

Key Milestone Dates:

	Planned
IR Content Cutoff Date:	4/10/00
Design/Review Complete Date:	4/11/00
Code/Unit Test Complete Date:	4/11/00
Promotion Cutoff Date:	4/12/00

Other Build/Update Particulars:

Build/Update Leader: Natalie Wyatt

DM Doing Validation Points: Tina Poyner and DM team

New 30-Month Window: **From:** Jul 97 **Thru:** Dec 99

Input Datasets: **See Attached List** **T'Round Rpts Approved?:** Y

Build Region: HMPD--T Plans; HDHMSP2 is the prefix for the DB2 tables

PMW to be Rebuilt? **Yes:** **No: X** **Cal Yr:**

Comments:

Release Package Ready: _____ Certified Date:_____ Certified By (MEDSTAT)

Release Package Ready: _____ Certified Date:_____ Certified By (DHS)

Attached: Input Files List; IR Summary Report of IRs Assigned to this Package

ITSD to MEDSTAT Data Set Cross Reference

Database Release 5.3.1

Date Rcvd	Type	Data Set Name Received	Record Count	Data Set Name Copied	Records Copied	State Status
04/12/2000	CLM	HD.HCP7011.MEDSTAT.P5U.DEC99.CLAIMS	14488086	HM.HCP7011.P5U.DEC99.CLAIMS	14488086	PENDING
01/27/2000	ELG	HD.HCP7011.MEDSTAT.PU5.SEP99.DEC99.ELIG	20734089	HM.HCP7011.P5U.SEP99.DEC99.ELIG	20734089	GO
01/20/2000	MCC	HD.HCP7011.MEDSTAT.P5U.DEC99.CAP	3133	HM/HCP7011.P53U.DEC99.CAP	3133	GO
01/20/2000	MCE	HD.HCP7011.MEDSTAT.P5U.DEC99.MCPE	0	HM.HCP7011.P5U.DEC99.MCPE	0	GO
01/20/2000	MCF	HD.HC7011.MEDSTAT.P5U.DEC99.MCPF	0	HM.HCP7011.P5U.DEC99.MCPF	0	GO
01/20/2000	MCM	HD.HCP7011.MEDSTAT.P5U.DEC99.MCPM	0	HM.HCP7011.P5U.DEC99.MCPM	0	GO
01/20/2000	MCP	HD.HCP7011.MEDSTAT.P5U.DEC99.PROVMC	16046	HM/HCP7011.P5U.DEC99.PROVMC	16046	GO
01/26/2000	PMD	HD.HCP7011.MEDSTAT.P5U.DEC99.PROVCOMB	478374	HM.HCP7011.P5U.DEC99.PROVCOMB.	478374	GO

IR Summary Report

Wednesday, April 12, 2000

Filter:
Target DB=5.3.1

No.	Client Code	Stat.	Open	Close	Type	Priority	Resp.	Status Reason	Summary Description
1207	CA	Open	01/04/99		Change	3-Medium	Key, Karen		Capitation Update Process should be consistent with MCP process and check for dups*
1433	CA	Open	05/05/99		Change -	3-Medium	Key, Karen		Modify Mgd Care Plan Financials conversion programs to address duplicate keys
1466	CA	Open	06/03/99		Problem	4-Minor	Key, Karen		Add TAPEDT to the Managed Care Financials Table
1506	CA	Open	07/22/99		Other	3-Medium	Jackman,		State IR #399: "System Security needs to be addressed on a global level."
1546	CA	Open	08/09/99		Change -	4-Minor	Joy, Robert		Improve Briefing Book design to further automate report production
1554	CA	Open	08/30/99		Problem	3-Medium	Swanson,		The copy books that contain the logic for archiving claims to HEDIS_SVC needs to be modified.
1806	CA	Open	11/20/99		Problem	3-Medium	Swanson,		Capitation Payment Categories of Service don't show $$ when displayed by Category of Service in PV
1861	CA	Open	02/08/00		Problem	2-Serious	Mulcahy,		CSBERROR Sub-routine Y2k fix missing period causing incorrect error message on user abends
1882	CA	Open	02/16/00		Change -	3-Medium	Swanson,		Procedure and diagnosis code updates available for Panorama View based on HEDIS 2000
1885	CA	Open	02/18/00		Other	4-Minor	Mulcahy,		Mass adjustments made in Dec 99 hospital crossover claims processing per OIL #004-00.
1923	CA	Open	03/21/00		Change -	3-Medium	Mulcahy,		Geographic Coding Plus V3.3 software upgrade from Group 1 from version 3.2
1926	CA	Open	03/27/00		Problem	2-Serious	Swanson,		PAN1 DB2 Configuration needed to be modified due to the volume of data in PV 5.3
1934	CA	Open	03/29/00		Problem	2-Serious	Jackman,		Phase 4 Conditional Acceptance Items
1940	CA	Open	04/03/00		Other	3-Medium	Swanson,		Changes required to do a multiple month update in Panorama View

1.14 Policy History

Established/Revision Date	Established/Revised By	Change Description
3/27/00	John Mulcahy	Policy/Process Established

Table of Contents

1. Database Build/Update (DataScan)

1.1 Overview

This process provides the steps required to execute the DataScan build or update activity. A database build establishes the 30-month database while each monthly update (or two-month update) essentially adds a new month and drops the oldest month, shifting the 30-month view or window by one month.

1.2 Purpose

The purpose of this procedure is to provide a standardized means to prepare, perform, and document the successful execution of a DataScan database build or update.

1.3 Scope

This process applies to the build and update cycles performed by the Operations team for DataScan.

1.4 Responsibility and Enforcement

The Operations team is responsible for carrying out this procedure.

1.5 General Considerations

A database build/update checklist has been prepared to assist those involved in the execution process. The checklist is included in Appendix 1.13.

1.6 Skill Requirements

The individual(s) performing the build/update process must be an experienced operations staff member that is familiar with the project cycles, scheduling tools, and problem resolution.

1.7 Entry Criteria

This process is entered any time a build or update is initiated.

1.8 Procedure Steps

The procedure is written to document each step of the build or update activity. The procedure steps are consistent with the Production Build/Update Checklist which is included in Appendix 1.13.

1.8.1 PROMOTE/COMPILE SECTION

1.8.1.1 1. Promote members from MIGR to PMED

1. Open the Master Component Database located on the LAN drive w:\ca_med\common\Logs\Master Component DB.mdb and print the open Promotion Request(s) for the current Database build/update.
2. Logon to the mainframe system and use the TSO Move/Copy Utility option (3.3). Move components listed on the Promotion Request from the migration area to the production area.

1.8.1.2 2. Compile Source

1. After the above steps have been completed, edit the production JCL compile jobs to recompile source programs if required (i.e., had changes made to them and were promoted).

1.8.2 ESP SECTION

1.8.2.1 3. Update the following ESP Procs with application name.

1. Using TSO, edit the production ESP Procedure library and select members starting with the prefix of B* for a Build or U* for an Update. Change the current database application release name to the new database application release name.
2. Using TSO, edit the production ESP Data Management Procedure library and select member DSCAN. Change the current database application release name to the new database application release name.

1.8.2.2 4. Update BLDSUB/UPDSUB with application event(s) to be submitted.

1. Using TSO, edit the production ESP Procedure library and select BLDSUB for a Build or UPDSUB for an Update. Select the events to submit by commenting or un-commenting the event names (e.g., include/exclude special jobs like Briefing Book, PMW extracts etc. beyond central apps required for a build or update).

1.8.2.3 5. Update the following ESP symbolic members.

1. Using TSO, edit the production ESP Symbolic library. Select member B*JCL for a Build or U*JCL for an Update. Change the following parameters: run qualifier, previous run qualifier, special run qualifier, phase, DB2 Region and version. Refer to the Release Package for database parameters.
2. Using the Release Package, 'ITSD to MEDSTAT Data Set Cross Reference' report. Edit member B*INPUT for a Build or U*INPUT for an Update. Update the input symbolic with the new data set names.
3. Using the POP schedule, edit member U*POP and update the symbolic with the new database enrollment months.
4. When running a two-month update the eligibility application will execute two times--once for each month. Refer to the Release Package, 'ITSD to MEDSTAT Data Set Cross Reference' report. Edit member U*ELIG. Update this symbolic with the first month eligibility input file. Once the first month process has completed successfully, update this symbolic with the second month eligibility input file. The eligibility symbolic should be updated for each run.

1.8.3 CONTROL CARD UPDATE SECTION

1.8.3.1 6. Update the following control members. "HM.PMED.PROD.CNTL"

SPLITTER CLM COUNT

1. Refer to the Release Package, 'ITSD to MEDSTAT Data Set Cross Reference' report for the claims record count number. Divide the claims records count number by 20 to obtain the split count. Using TSO, edit the production CNTL library and select member SPLITTER. Update this member with the split count. When processing a two-month update this member should be updated each run.

RUNDATE

2. Refer to the Release Package, Other Build/Update Particulars section. Using the new 30-month window end date, edit the production CNTL library and select member RUNDATE. Update this member with the following: end date, update option B for Build or U for an Update, and the database release number. When processing a two-month update this member should be updated each run.

SPLTELGR

3. Edit the production CNTL library and select member SPLTELGR. Update this member with the four-month eligibility range.

SPLTELGU

4. Edit the production CNTL library and select member SPLTELGU. Update this member with the four-month eligibility range. When processing a two-month update this member should be updated each run.

SRTPVEIR (two-month update only)

5. Edit the production CNTL library and select member SRTPVEIR. Update this member with the first month of the four-month eligibility range. This member should be updated for each run of eligibility and is only changed when processing a two-month update.

1.8.4 REPORT/TEMP LIBRARY CLEANUP

1.8.4.1 7. Verify ESP setup, run the following job in library HMNWYA. PRODCNTL.JCL"

1. Using TSO, edit the production control JCL library and submit the following jobs:
   Build – HMPRD02B and HMPRD03B
   Update – HMPRD02U, HMPRD03U and *HMPRDELG.
   *Run this job when processing a two-month update.

1.8.4.2 8. Delete any member(s) in the following temp libraries.

2. Using the TSO Library Utility option (3.1), enter the production ESP Temporary JCL and PRO library. Delete any members in this area. These libraries should be empty before execution of a Build/Update.

1.8.5 VERIFICATION SECTION

1.8.5.1 9. Have someone other than yourself verify changes to: ESP Proc, ESP Symbols, Input Datasets, Run date, Splitter and Eligibility Splitter.

1. Have a member of the Operations Team verify the following changes:
   ESP Procs, ESP symbols, input datasets, run dates and splitter for eligibility and claims. The reports for the above step can be used for the verification step.

1.8.6 EXECUTING/MONTORING SECTION

1.8.6.1 10. Trigger event:

1. To trigger the production schedule, logon to TSO and select ESP. Navigate to the "ESP List Event" panel. Trigger the DSCAN.UPD_SUB event. This will submit the selected applications to the ESP Consolidated Status Facility area. Navigate to the Consolidated Status Facility panel to view the schedule.

1.8.6.2 11. Job monitoring and manual task

1. The Operations Team will monitor the progress of the production schedule from start to finish. The jobs are monitored via the Consolidated Status Facility (CSF) screen in ESP. If a job fails, ESP notification process will: 1) Display a failed status in the CSF screen; and 2) Send a message via TSO, email and pager(s). The

Operations Team will respond by viewing the error message via TSO Interactive Output Facility (IOF). Once the error has been identified, the Operations Team will follow the restart/recovery procedures listed at the end of the JCL. For DataScan core jobs refer to the DataScan Technical Reference Guide for assistance in restarting. The core jobs are identified in the Production Control Guide.

2. When processing an update the schedule will stop executing at the checkpoints listed below. At each checkpoint the Operations Team is required to complete the manual task. At completion of the manual task the schedule will start processing again.

    - HARD STOP 1
      At this checkpoint, the Data Management Team will give the approval to continue the schedule after validation has been successfully completed. The Insert/Update Claims process will be the next process to execute. This process will require an outage to the current Database. Refer to the Release Package for date and time of the scheduled outage. Once the above tasks have taken place, the Operations Team will shut down CICS, cancel any user scripts accessing the database and complete the ESP manual task to start the schedule.

    - HARD STOP 2
      At this checkpoint, the Data Management Team will give the approval to run job JBLDREP7 after the validation has been successfully completed for Capitation and Managed Care Plan applications. The Operations Team will complete the ESP manual task to run job JBLDREP7.

    - HRO (History Rolloff)
      At this checkpoint, the Data Management Team should have completed all validation prior to this checkpoint. This process requires an outage to the current Database. Refer the Release Package for date and time of the scheduled outage. Once the above tasks have taken place, the Operations Team will trigger the HRO jobs in ESP, shut down CICS, cancel any user scripts accessing the database and complete the ESP manual task to start the schedule.

1.9 Exit Criteria

This process can be exited once the DataScan Build/Update jobs have completed and the Data Management Team has successfully completed validation tests and all applicable tasks within the project plan have been completed. The Database will then be released for access by the Department.

1.10 Forms and Subject Examples

NA

1.11 Reference Material

NA

1.12 History

Established/Revision Date	Established/Revised By	Change Description
6/29/01	Natalie Wyatt	Policy/Process Established

1.13 Appendix

1.13.1 Production Build/Update Checklist

PRODUCTION DATABASE CHECK LIST ***Two-Month Update**

Select one: ☐ Build ☐ Update ☐ Rebuild Date: _____

Release: _____

PROMOTE/COMPILE SECTION

☐ 1. Promote member from MIGR to PMED.
☐ 2. Compile Source.

ESP SECTION

☐ 3. Update the following ESP Procs with the application name:

BUILD	UPDATE
HM.PMED.ESP.DS.PROC(B5*)	HM.PMED.ESP.DS.(U5*)

☐ 4. Update the submit proc with application event(s) to be submitted.

BUILD	UPDATE
HM.PMED.ESP.DS.PROC(BLDSUB)	HM.PMED.ESP.DS.(UPDSUB)

☐ 5. Update the following ESP symbolic members:

BUILD	UPDATE
HM.PMED.ESP.DS.SYMBOLIC(B5JCL)	HM.PMED.ESP.DS.SYMBOLIC(U5JCL)
HM.PMED.ESP.DS.SYMBOLIC(B5INPUT)	HM.PMED.ESP.DS.SYMBOLIC(U5INPUT)
	HM.PMED.ESP.DS.SYMBOLIC(U5POP)
	*HM.PMED.ESP.DS.SYMBOLIC(UELIG) ☐ Run#1 ☐ Run#2

CONTROL CARD UPDATE SECTION

☐ 6. Update the following control members. "HM.PMED.PROD.CNTL"
BUILD

☐ SPLITTER CLM COUNT: _____ /20 = _____

☐ RUNDATE _____

☐ SPLTEGR _____

UPDATE

☐ SPLITTER CLM COUNT: _____ /20 = _____

☐ RUNDATE ☐ Run#1: _____ ☐ Run#2: _____

☐ SPLTELGU ☐ Run#1: _____ ☐ Run#2: _____

☐ *SRTPVEIR ☐ Run#1: _____ ☐ Run#2: _____

PRODUCTION DATABASE CHECK LIST (Continued)

REPORT/TEMP LIB CLEANUP

☐ 7. Verify ESP setup, run the following job in library 'HMNWYA.PRODCNTL.JCL'

BUILD	UPDATE
HMPRD02B, HMPRD03B	HMPRD02U, HMPRD03U, *HMPRDELG

☐ 8. Delete any member(s) in the following temp libraries.
HM.PMED.ESP.DS.TEMPJCL
HM.PMED.ESP.DS.TEMPPROC

☐ 9. Have someone other than yourself, verify the following changes to:
ESP Proc ESP Symbols Input files Rundate
Spliiter Elig Splitter

EXECUTING/MONTORING SECTION

☐ 10. Trigger event: DSCAN.BLD_SUB (for build)
DSCAN.UPD_SUB (for update)

☐ 11. Job monitoring and manual task.

☐ Hard Stop 1 – At this check point all DM validation should be completed before executing claim/update insert. Continue with the steps below when given the approval from the DM Team.

1. Run the stop CICS job by triggering ESP event: HMSADM.MAN_HMSTOPI
2. Cancel user scripts if running.
3. Complete ESP manual task: **STOPCICS**

☐ Hard Stop 2 – At this check point CAP and MCP DM validation should be completed before executing job JBLDREP7. Continue with the steps below when given the approval from the DM Team.

1. Complete ESP manual task: **HARDSTP2**

☐ HRO - At this check point the history rolloff processing is ready to execute. Follow steps below:

1. Update HM.PMED.ESP.DS.PROC(UPDSUB) with the HRO events.
2. Trigger event DSCAN.UPD_SUB
3. Run the stop CICS job by triggering ESP event: HMSADM.MAN_HMSTOPI
4. Cancel user scripts if running.
5. Complete ESP manual task: **STARTHRO**

PRODUCTION DATABASE CHECK LIST (Continued)

Two-Month Update Note

- Execute the following proc's when updating the Database for two months.
  U5CAP2
  U5MCP2

  U5ELIG2 (This proc requires manual changes before triggering the event.
  Refer to the proc for more details.)

- Eligibility process will run two times. The following changes must occur:

  Update the following control cards for each run:

  RUNDATE SPLTELGU SRTPVEIR

SPECIAL HANDLING: MODIFY THE SORT CONTROL FILE, SRTPVEIR, SPECIFYING THE EARLIEST MONTH OF THE FOUR- MONTH WORTH OF DATA TO BE EXTRACTED FOR PV

  Update the following ESP symbolic for each run:

  U5ELIG2

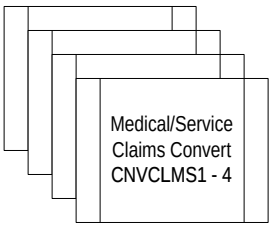
- Do not trigger other events until Run #1 for Eligibility jobs has run and DM validation is successful.

1.13.2 DataScan Build/Update Process Flow

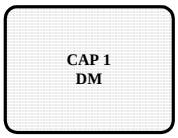
DataScan Batch Flow - Legend

This box represents a DataScan custom job. It contains the job title and job name. The job name must appear in uppercase and with a bold font. Each job is a member of an ESP application. Each ESP application has a unique color.

This box represents a DataScan core job. It contains the job title and job name. The job name must appear in uppercase and with a bold font. Each job is a member of an ESP application. Each ESP application has a unique color.



This diagram represents multiple instances of the same job. They are run in parallel to speed up processing. The logic executed is the same in each job instance. The only difference is the input and output data sources. They can be run in parallel depending on the computer resources available. Multiple instances of core jobs are noted in a similar fashion but using the core box object with multiple instances.



This object represents a validation points within the process that is performed by the responsible Data Manager

This line connector indicates the next job in the process for execution. Concurrence is determined by available computer resources.

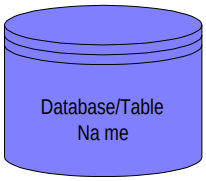
This line connector indicates the next job in the process for execution that is on the critical path. Jobs on the critical path are scheduled first when considering concurrent jobs. Critical path jobs will execute the longest.

This line connector indicates a dependency on a job completing in a different application. For example, The Drug Claims Convert job cannot start until the Provider Background load job is completed.

This line connector indicates when a Data Management validation step is performed after successful completion of the job. It connects to the Data Manager validation box noted above. This is seperate from the ongoing validation steps performed by the Operation Team during the build/update process

DataScan Batch Flow - Legend (cont...)

This notation is affixed to the bottom of a custom or core job box to indicate the job is restartable.

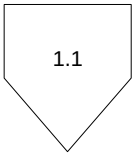


This object indicates a database or table. The title of the database or table name is located inside the object.


Diskette Input

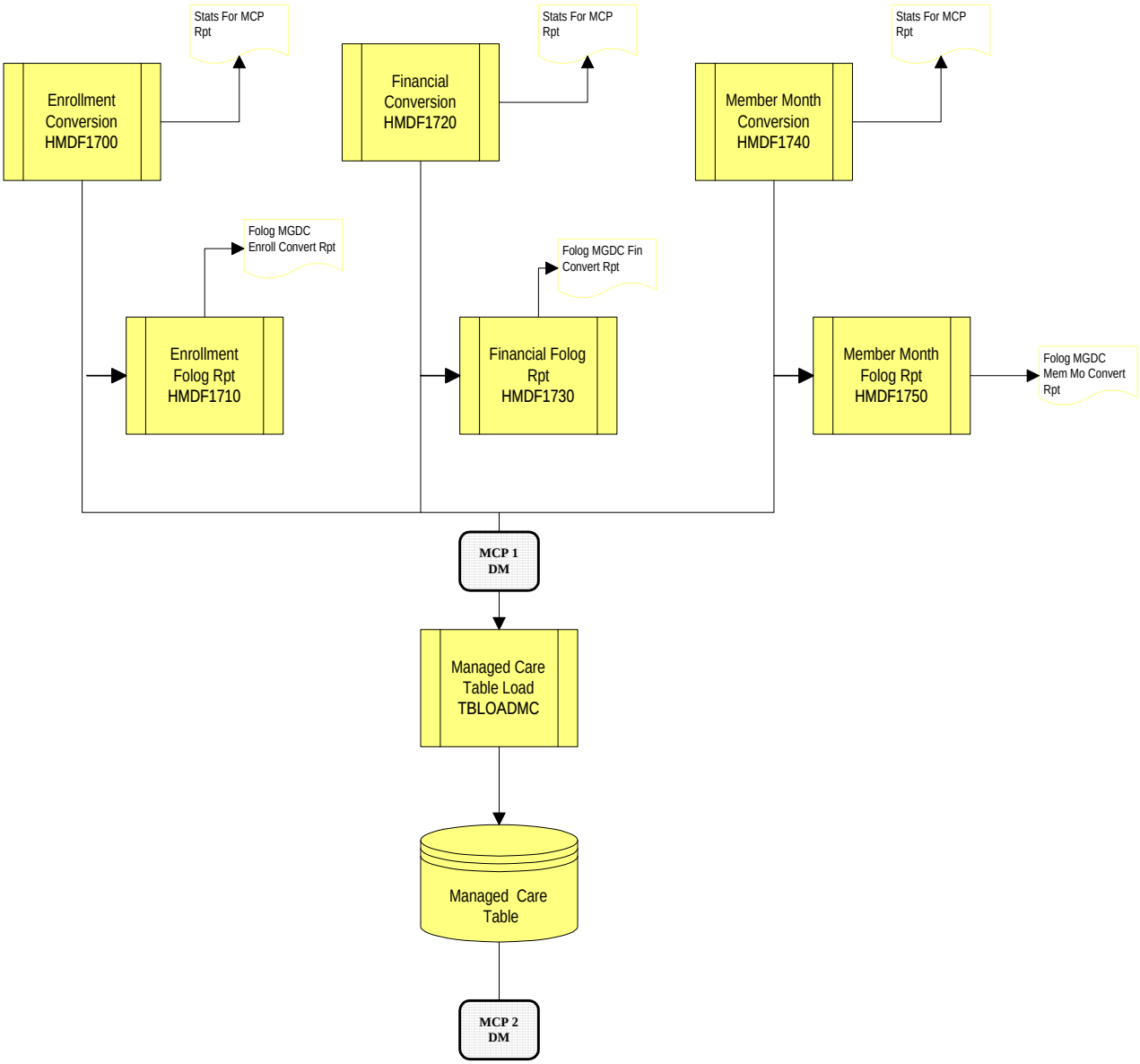
The diskette object indicates data for this process is contained on a PC diskette.

The report object indicates that one or more reports will be generated by the job. This object indicates two reports are created. The DDNAME is contained in each report object diagram. The DDNAME is the portion of the JCL that indicates the file attributes including file name. The filename is where the report is written by the program.

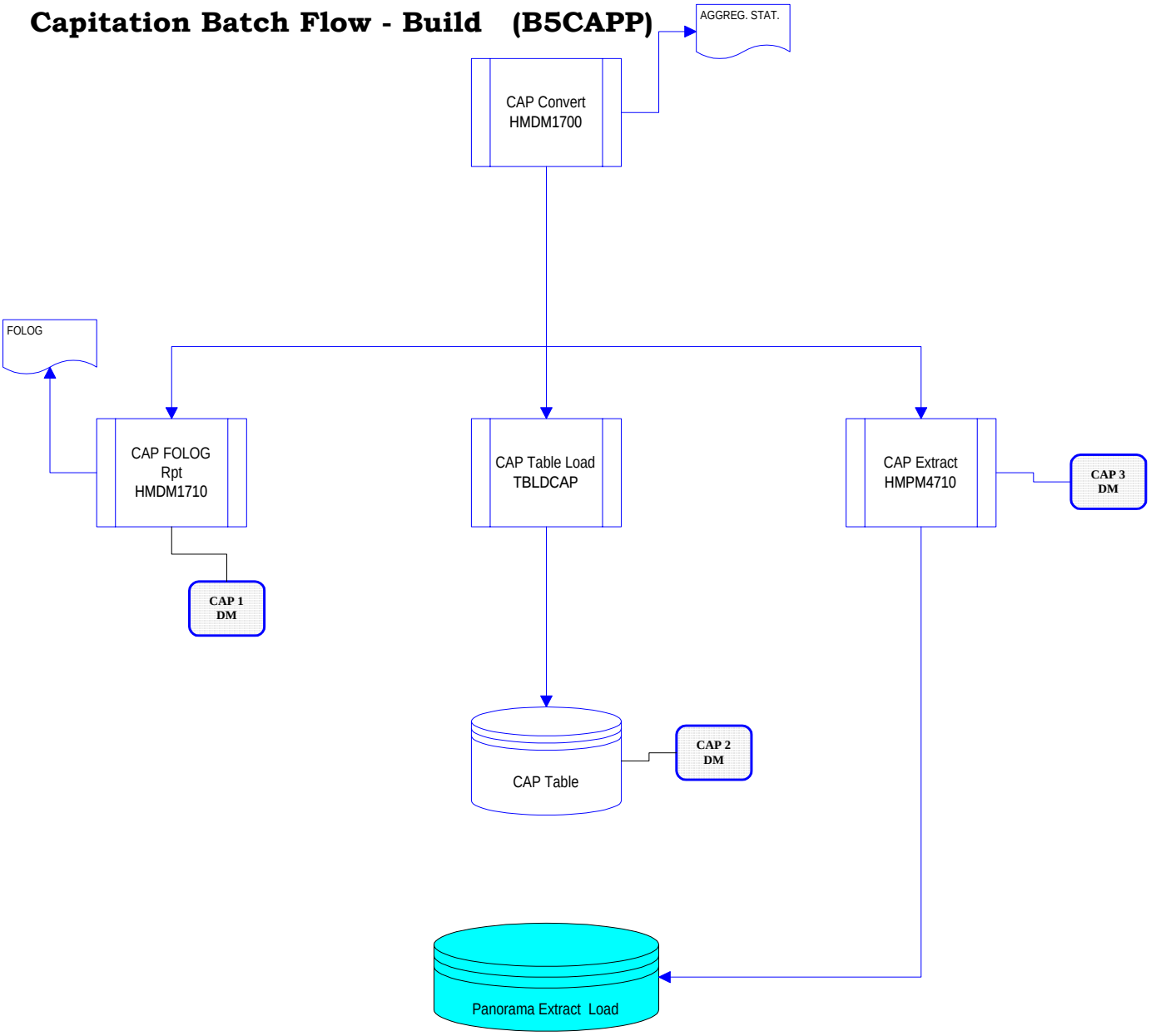


This is the off-page connector object. This object is used to indicate that part or all of the job flow continues on another page. Each connector has a unique number identifying a pair of related connectors.

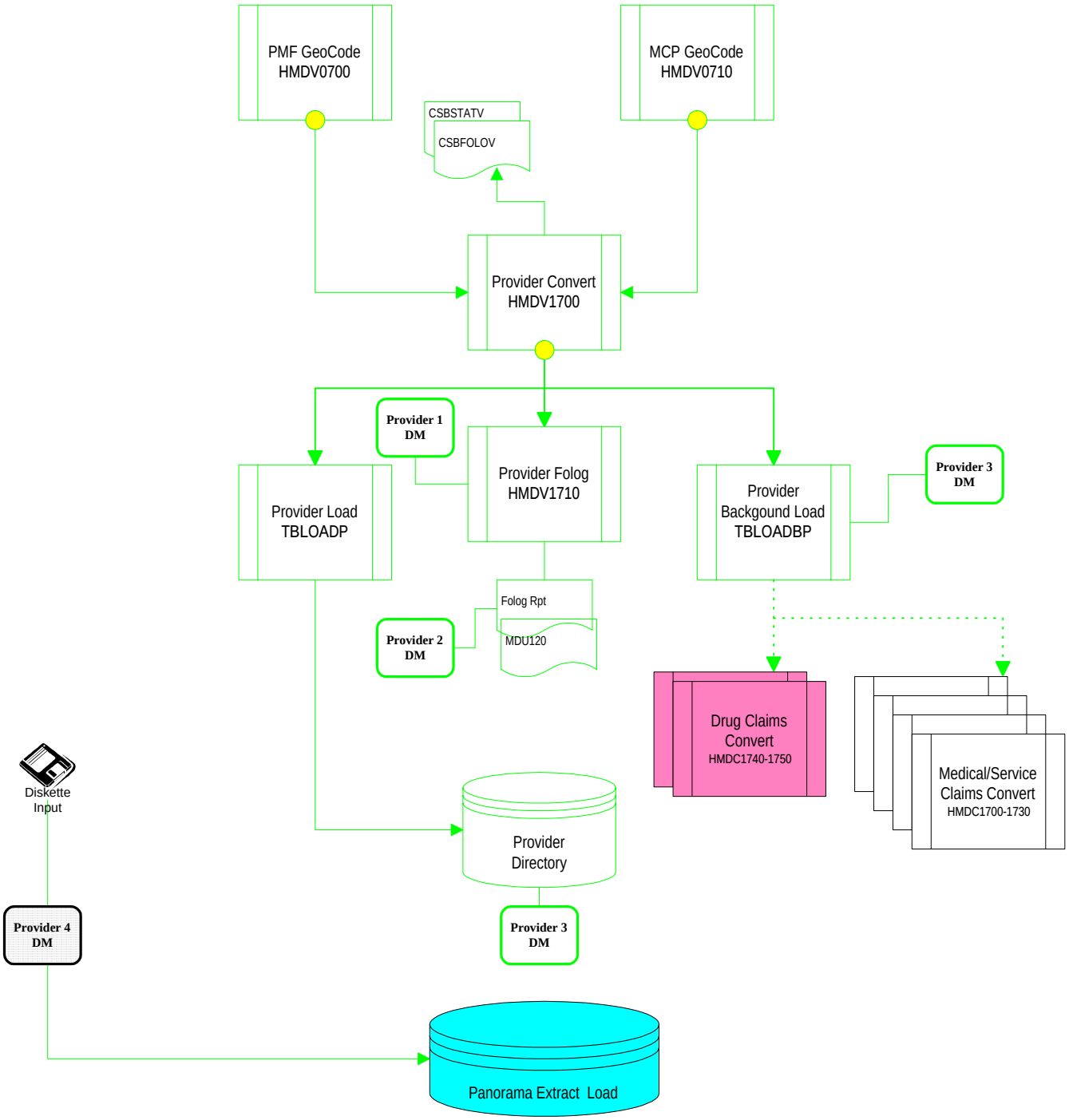
MCPF Batch Flow - Build (B5MCPF)



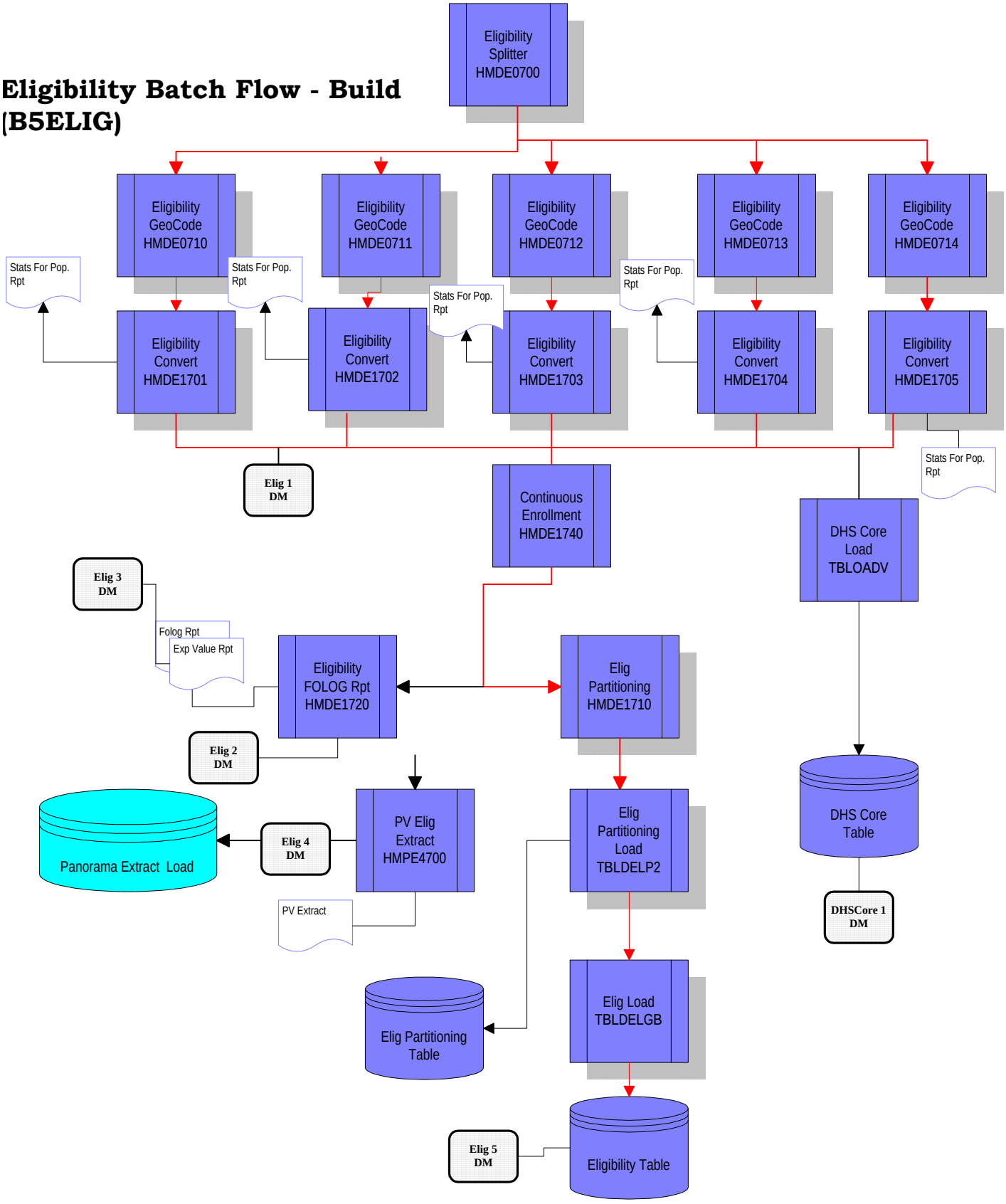
Capitation Batch Flow - Build (B5CAPP)



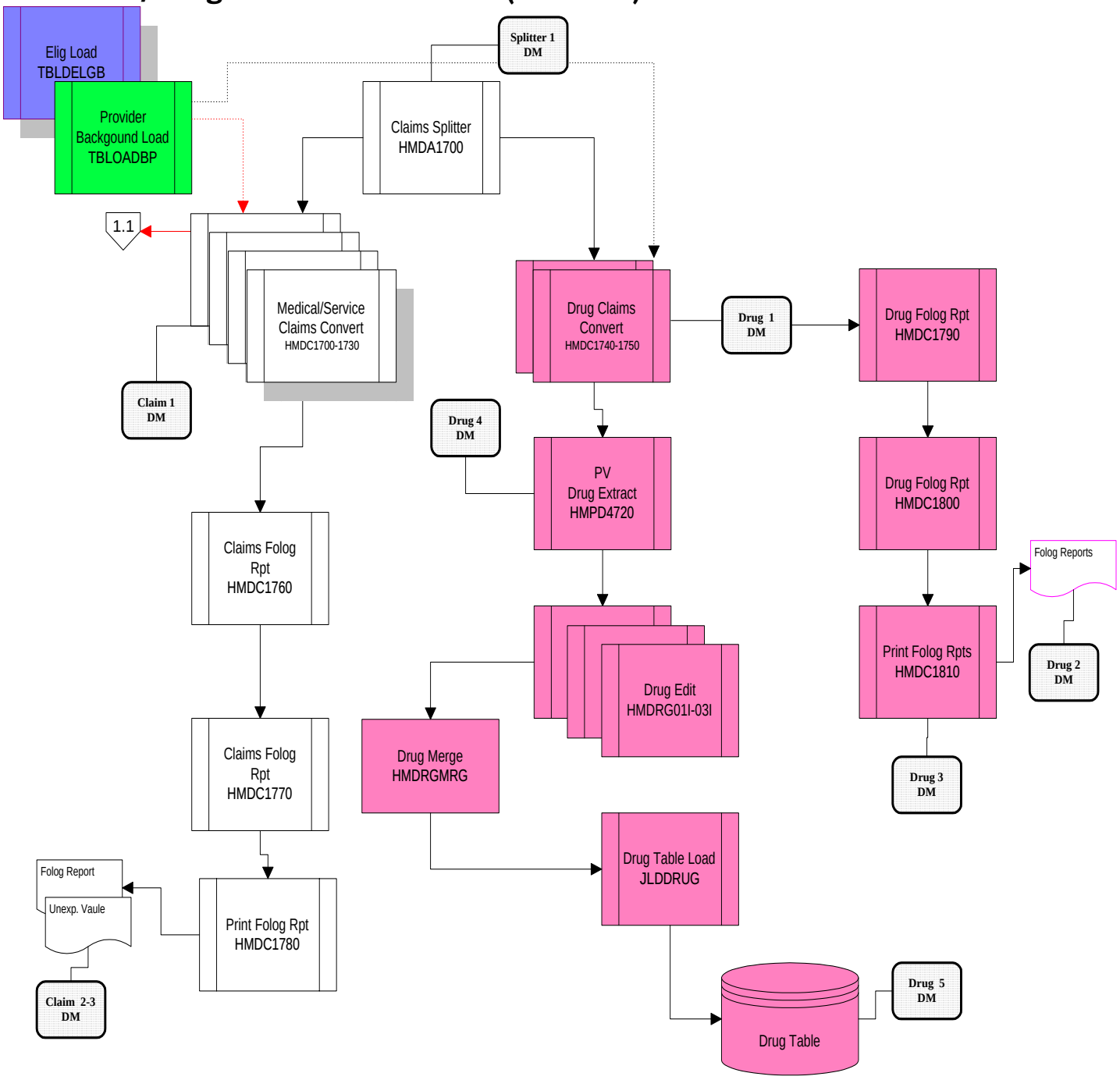
Provider Batch Flow - Build (B5PROV)



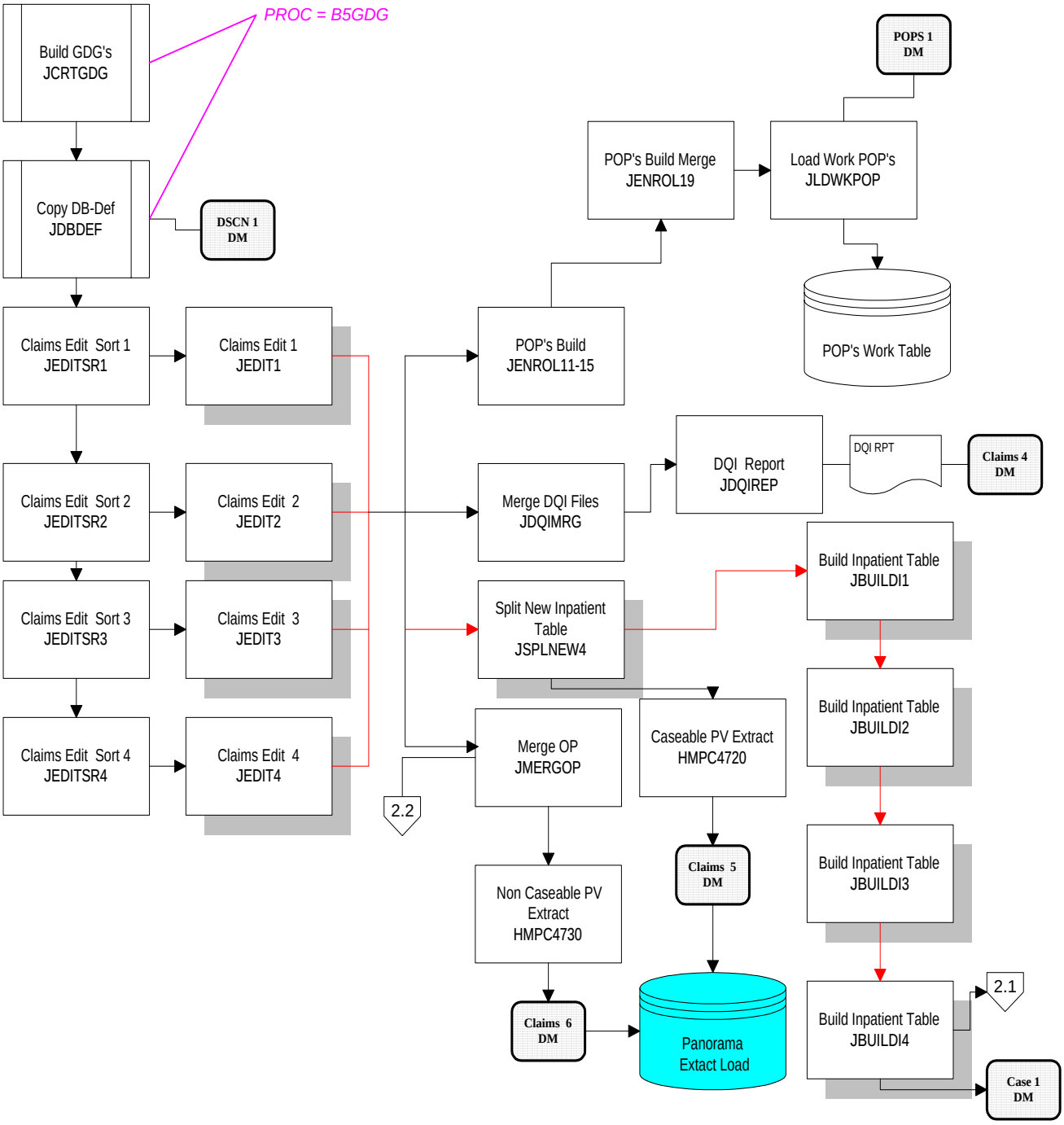
Eligibility Batch Flow - Build (B5ELIG)



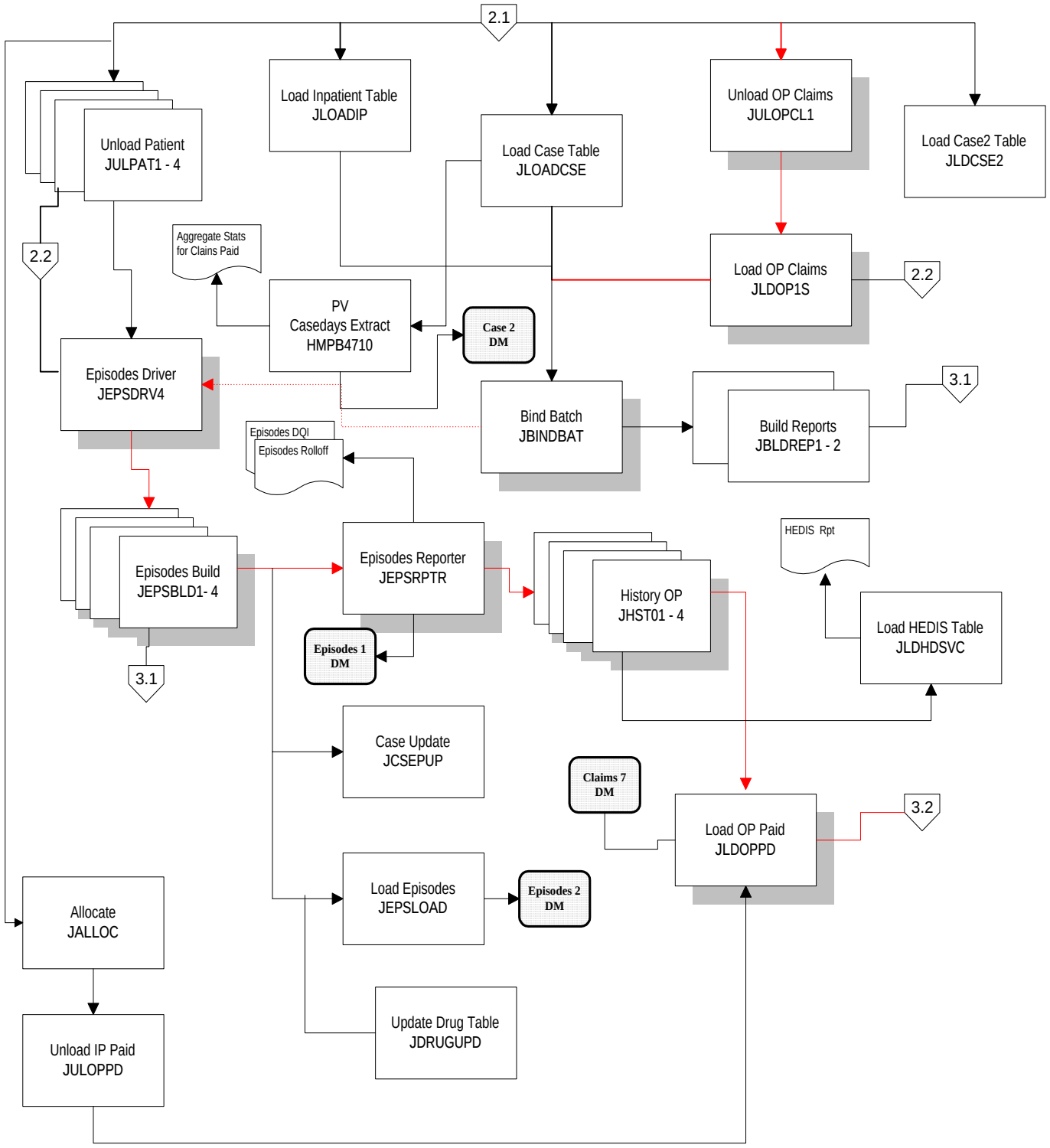
Claims/Drug Batch Flow - Build (B5CLMS)



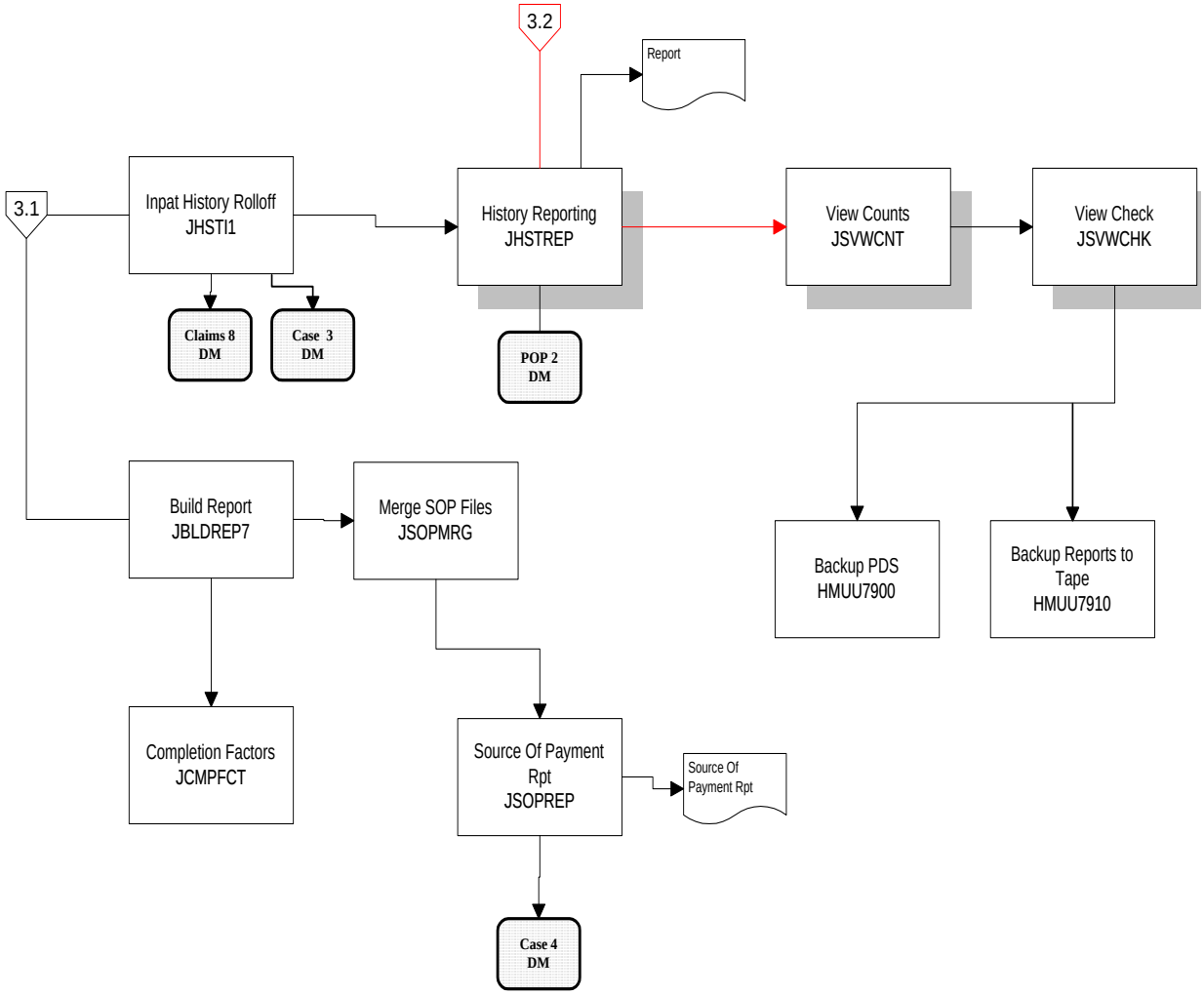
Claims/Drug Batch Flow - Build (B5CLMS)



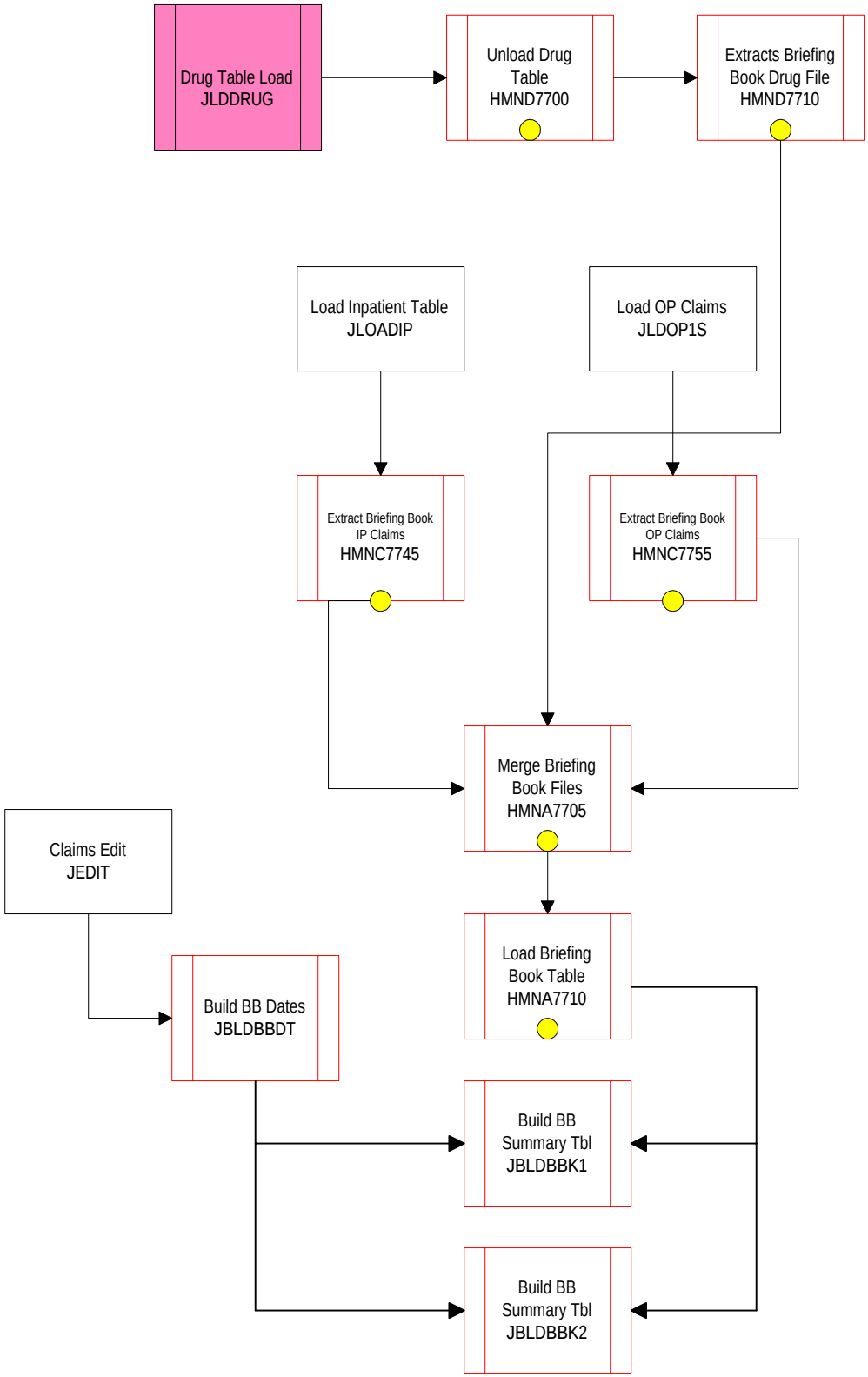
Claims/Drug Batch Flow - Build (B5CLMS)



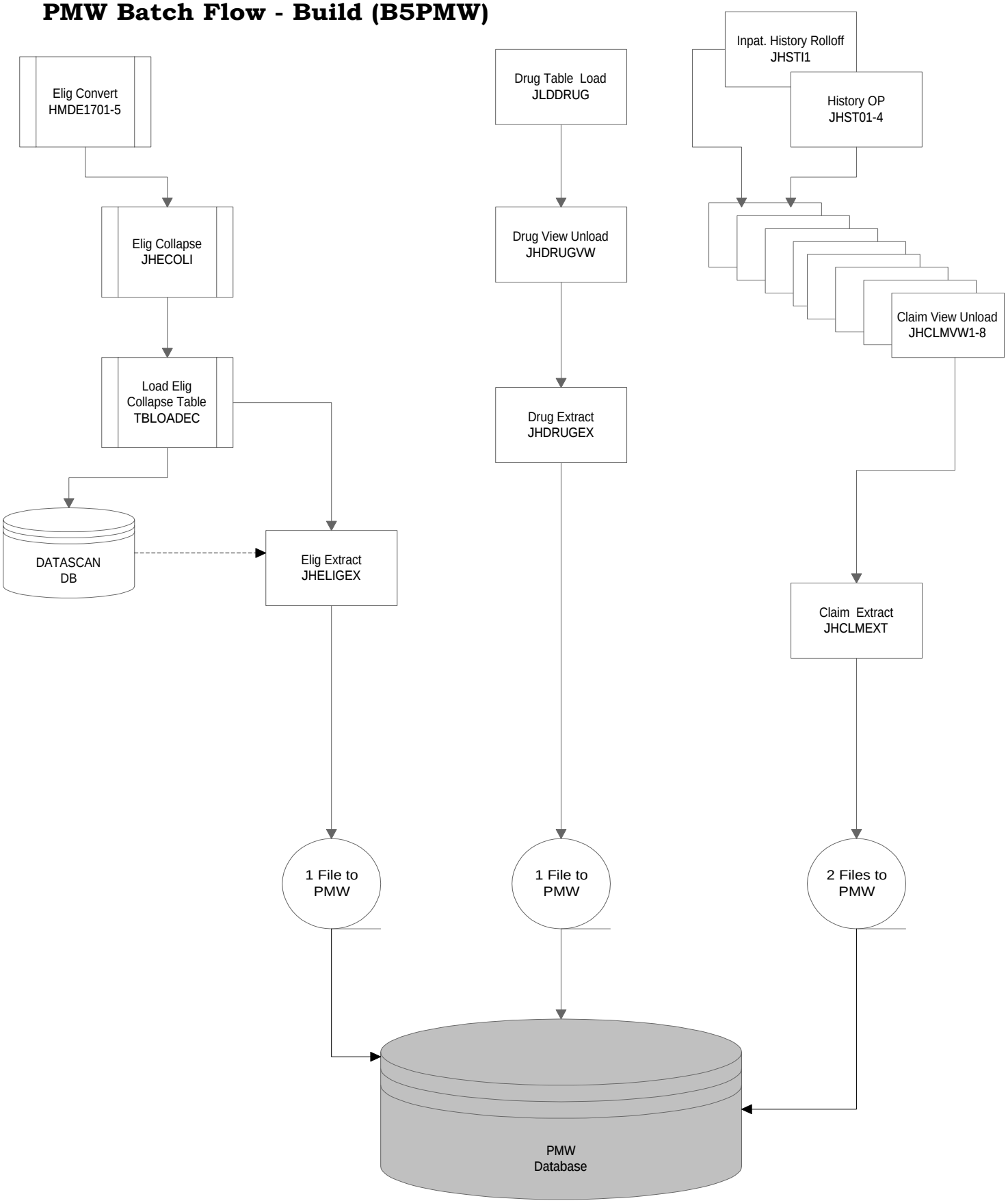
Claims/Drug Batch Flow - Build (B5CLMS)



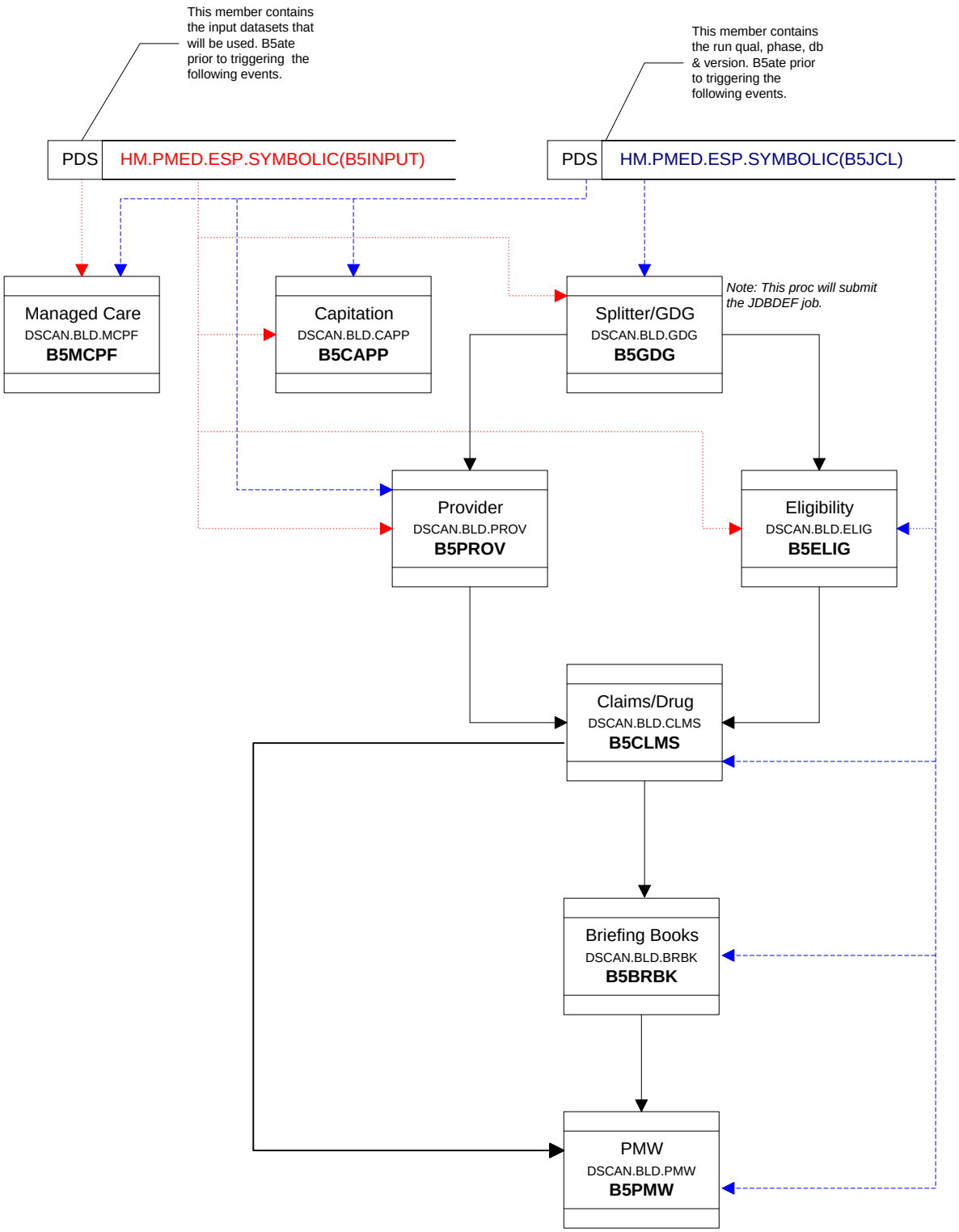
Briefing Book Batch Flow - Build (B5BRBK)



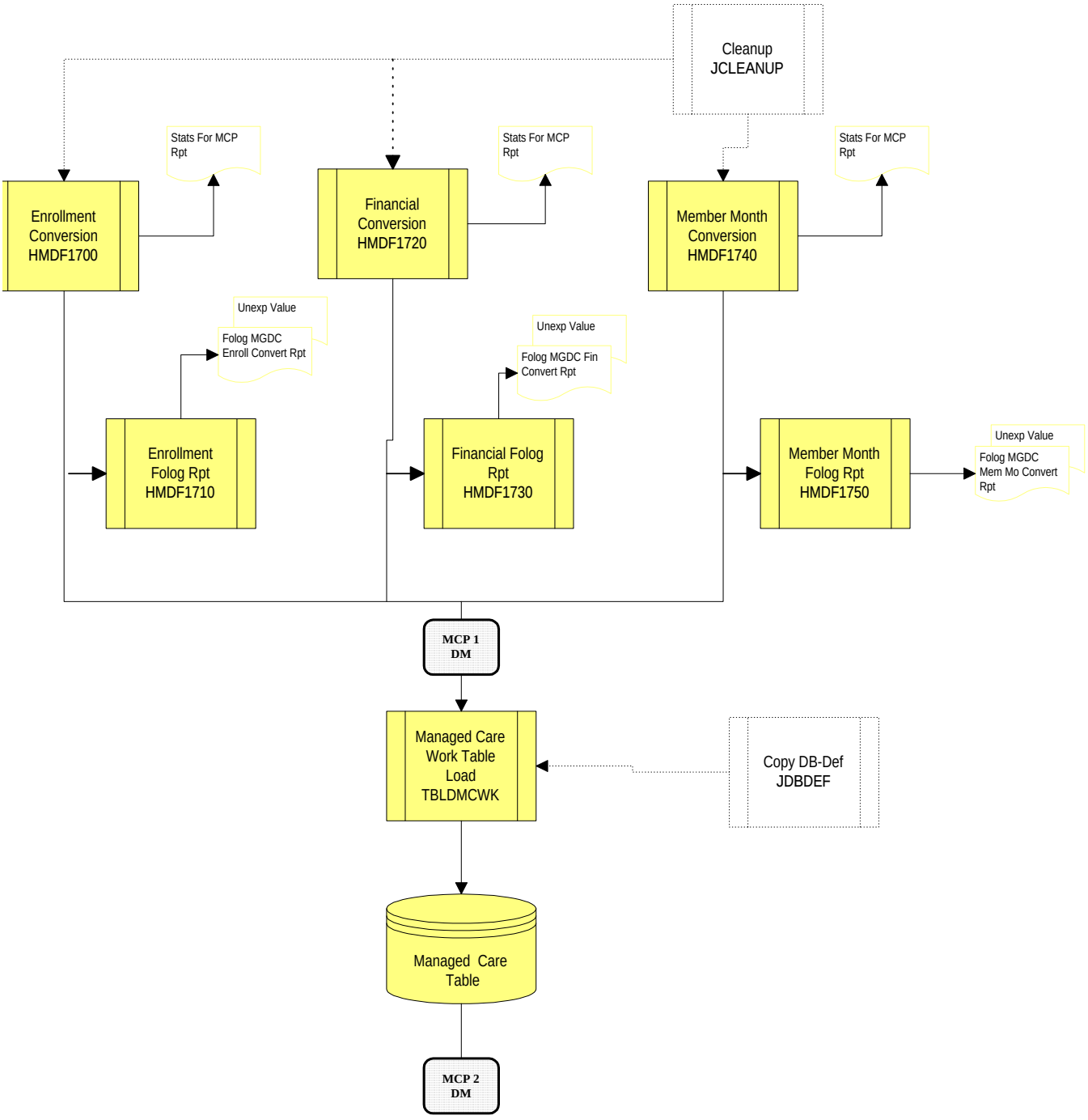
PMW Batch Flow - Build (B5PMW)



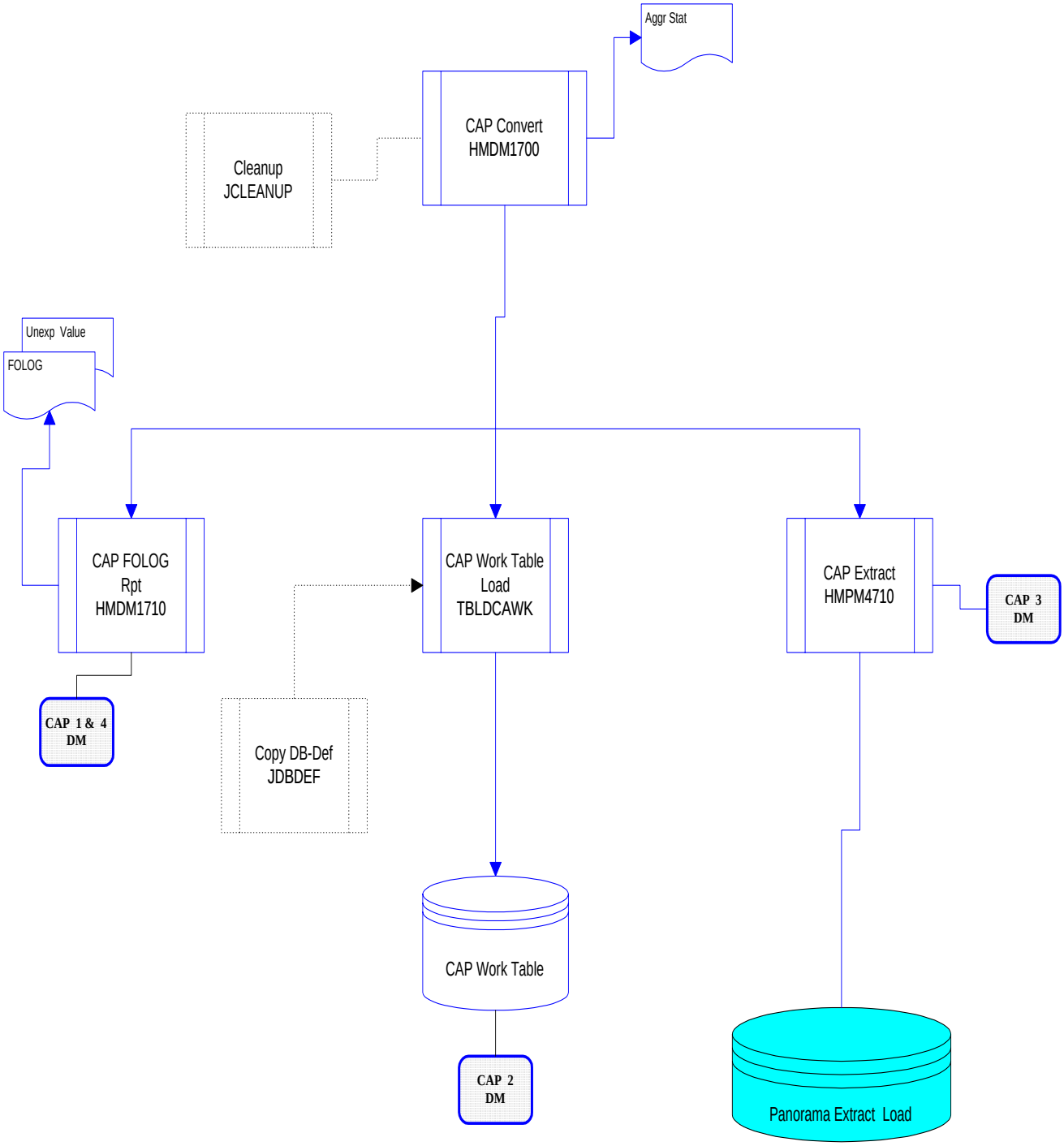
ESP PROCEDURE FLOW - BUILD



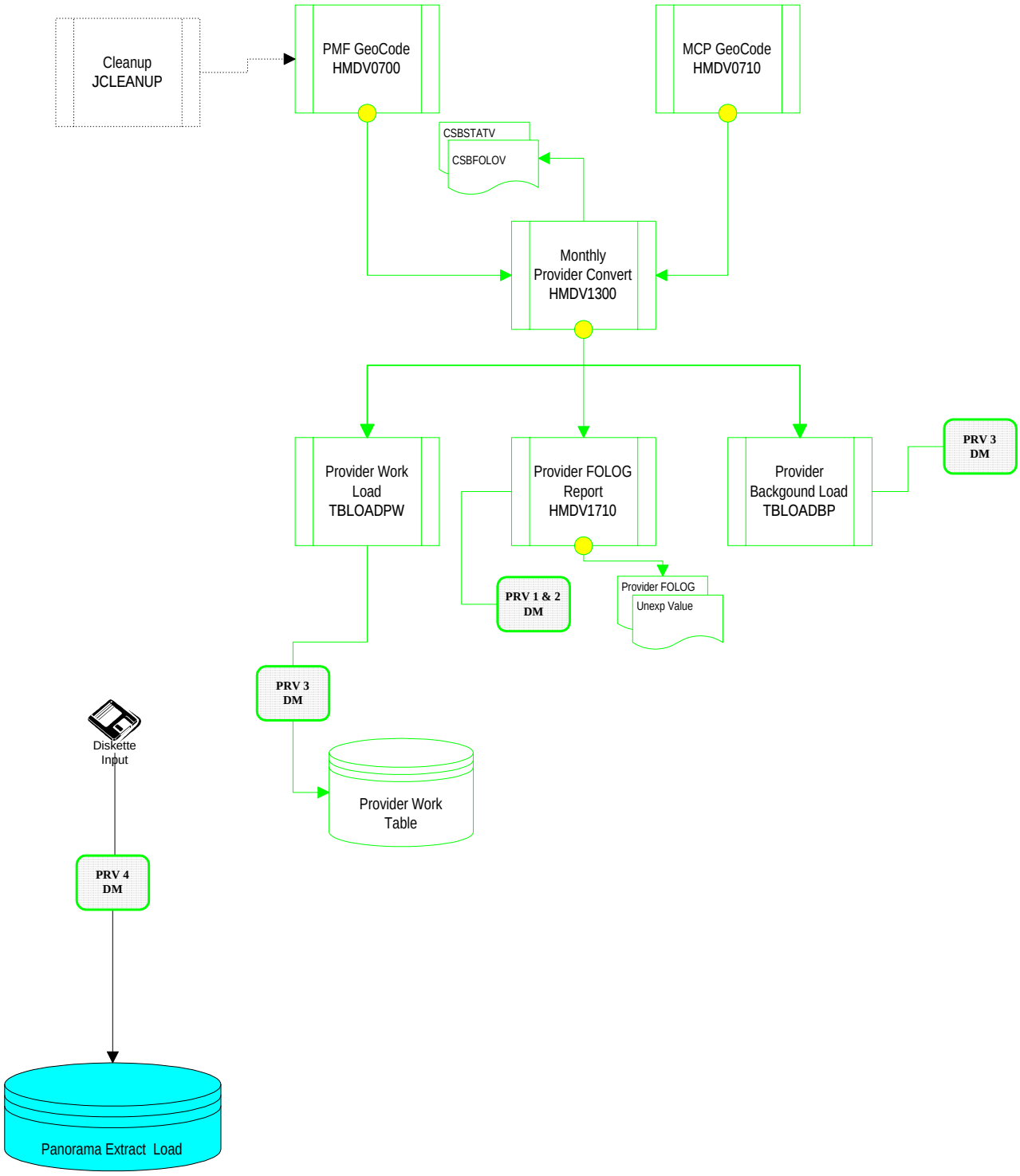
[CPF Batch Flow - Update (U5MCPF)



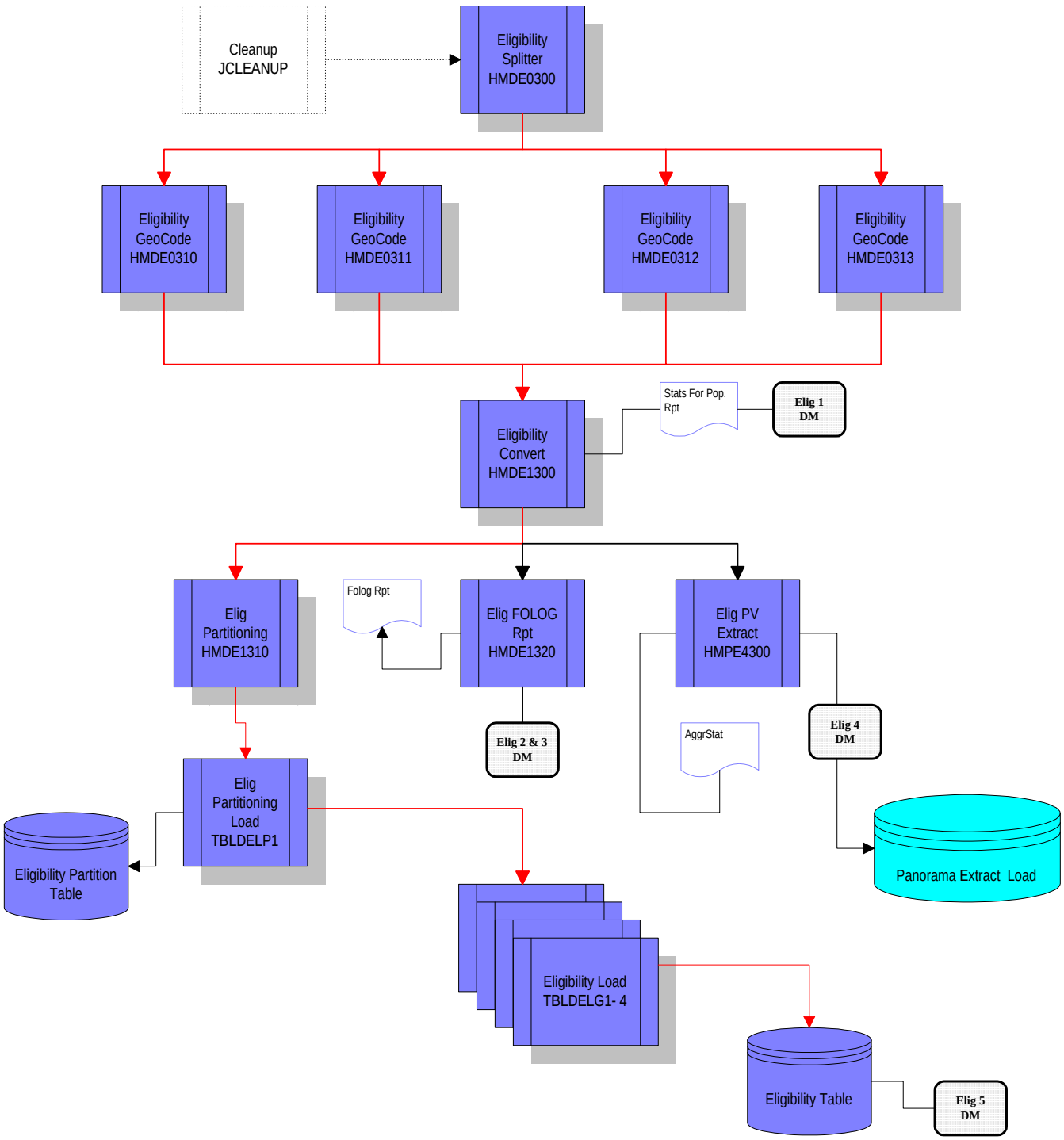
Capitation Batch Flow - Update (U5CAPP)



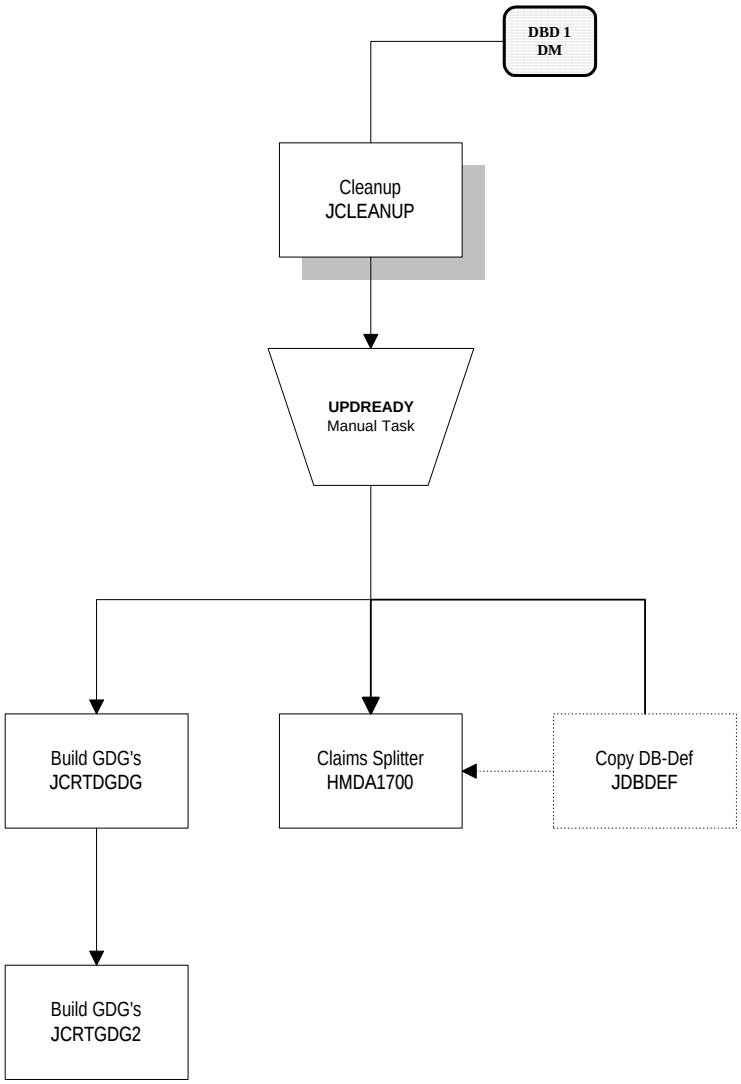
Provider Batch Flow - Update (U5PROV)



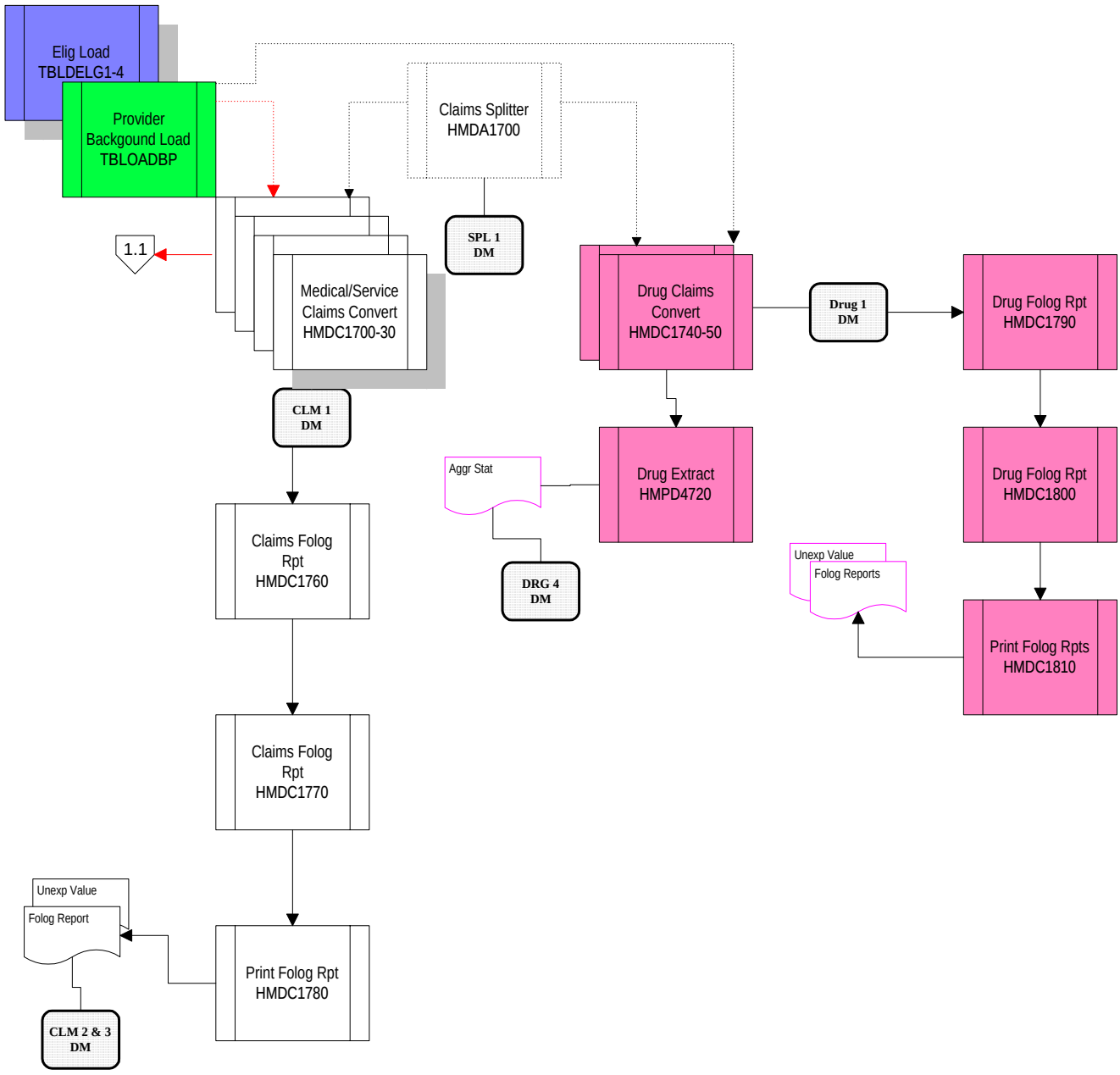
Eligibility Batch Flow - Update (U5ELIG)



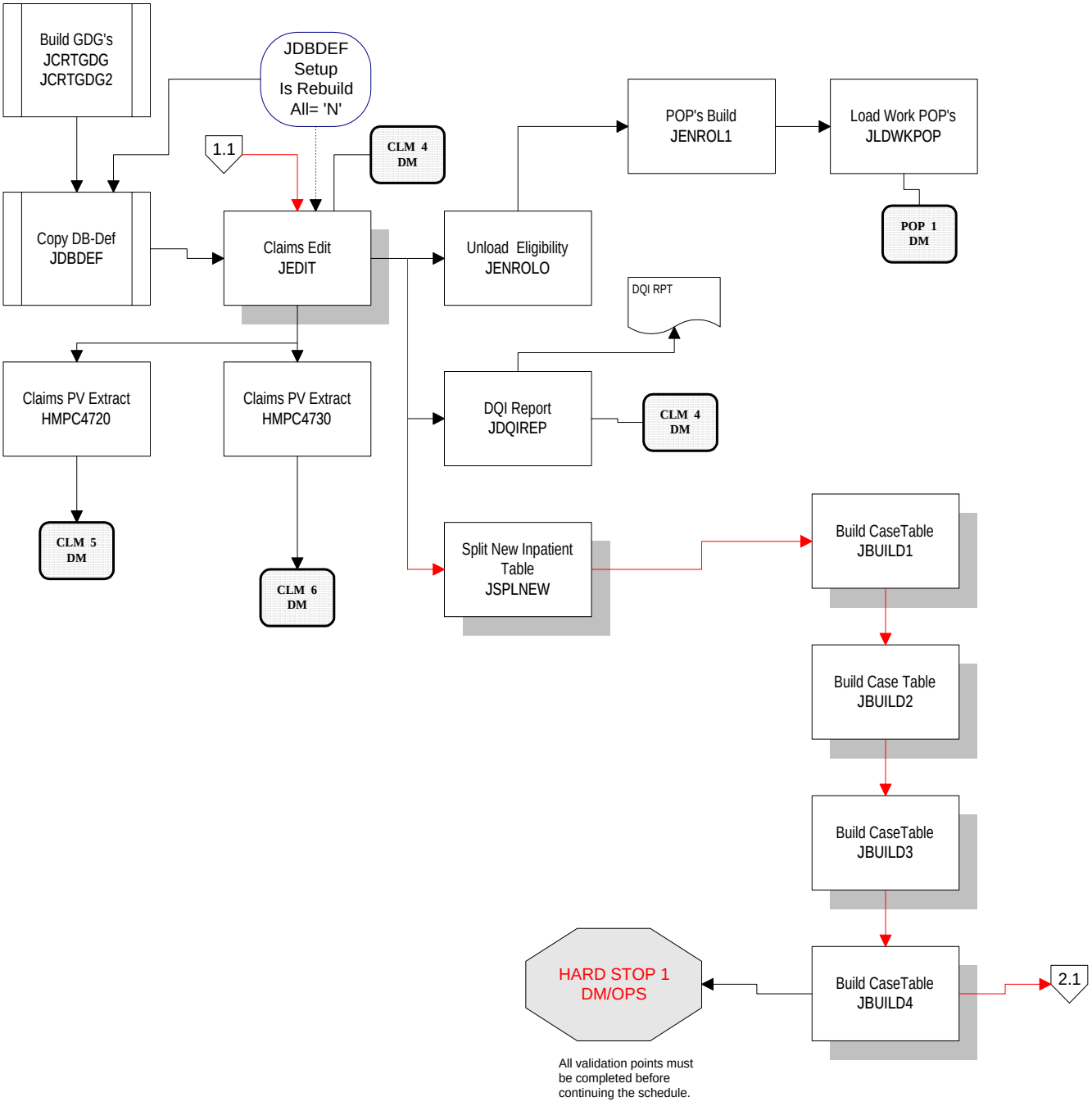
CLEANUP & GDG UPDATE FLOW - (U5GDG)



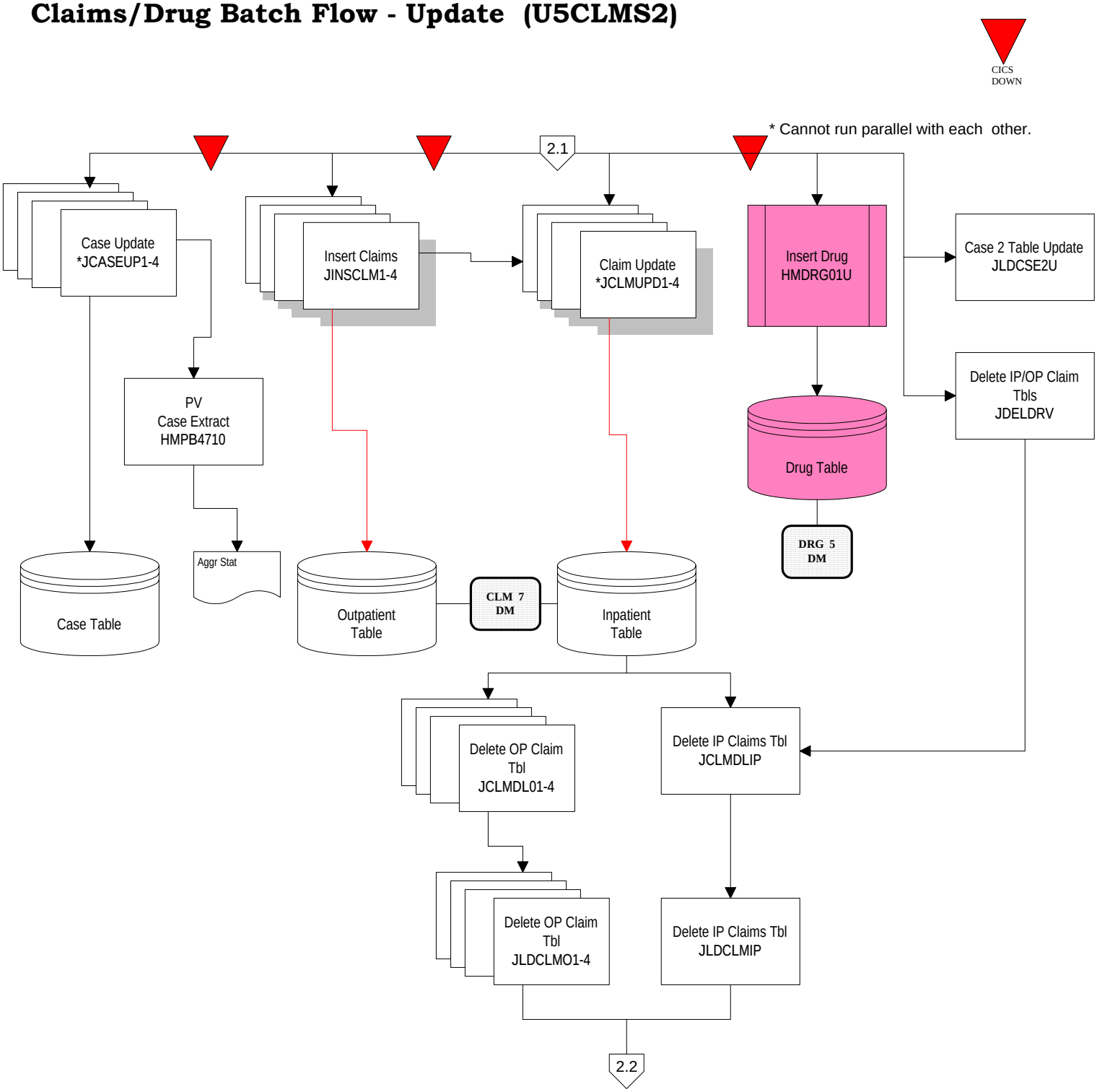
Claims/Drug Batch Flow - Update (U5CLMS)



Claims/Drug Batch Flow - Update (U5GDG & U5CLMS2)

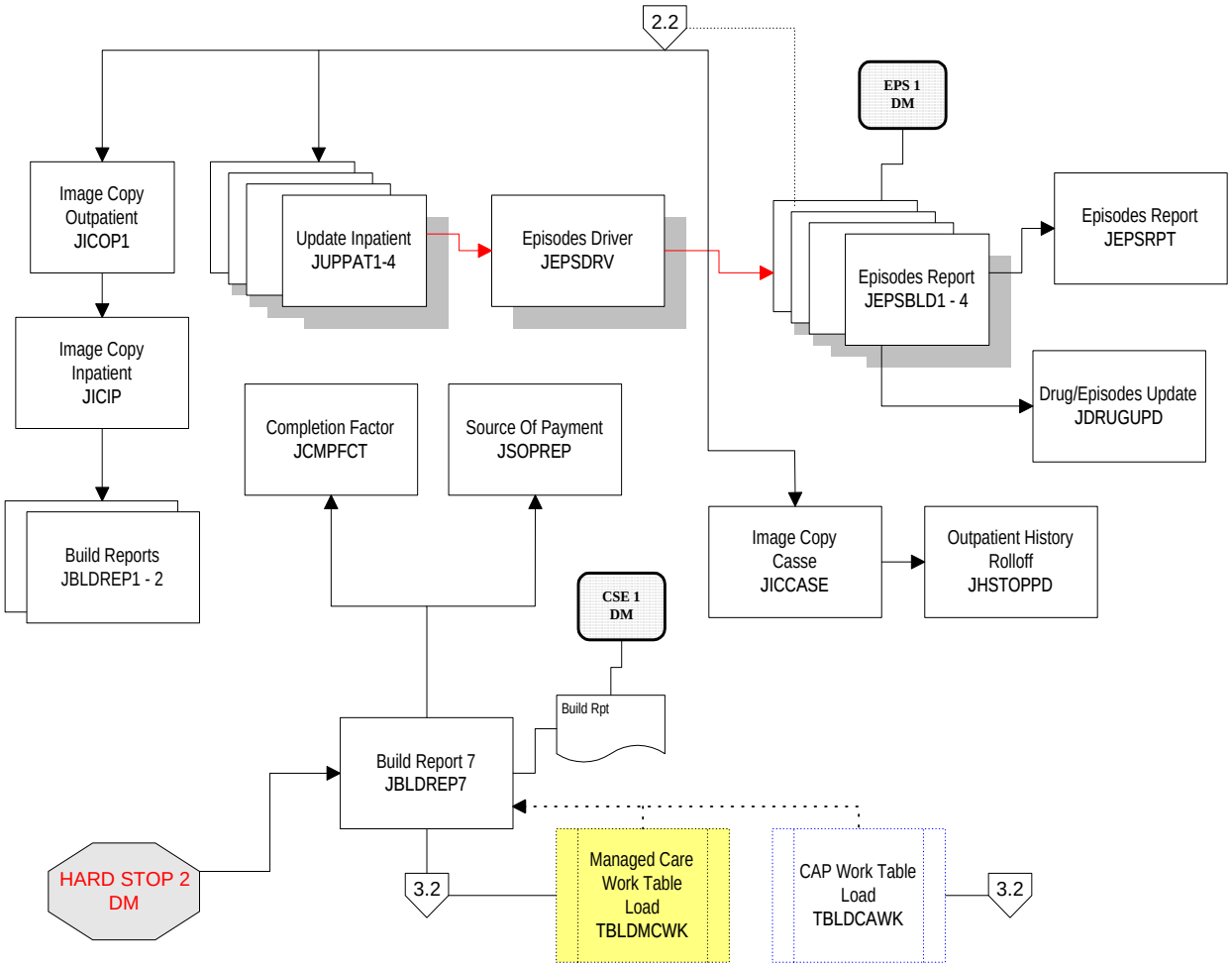


Claims/Drug Batch Flow - Update (U5CLMS2)

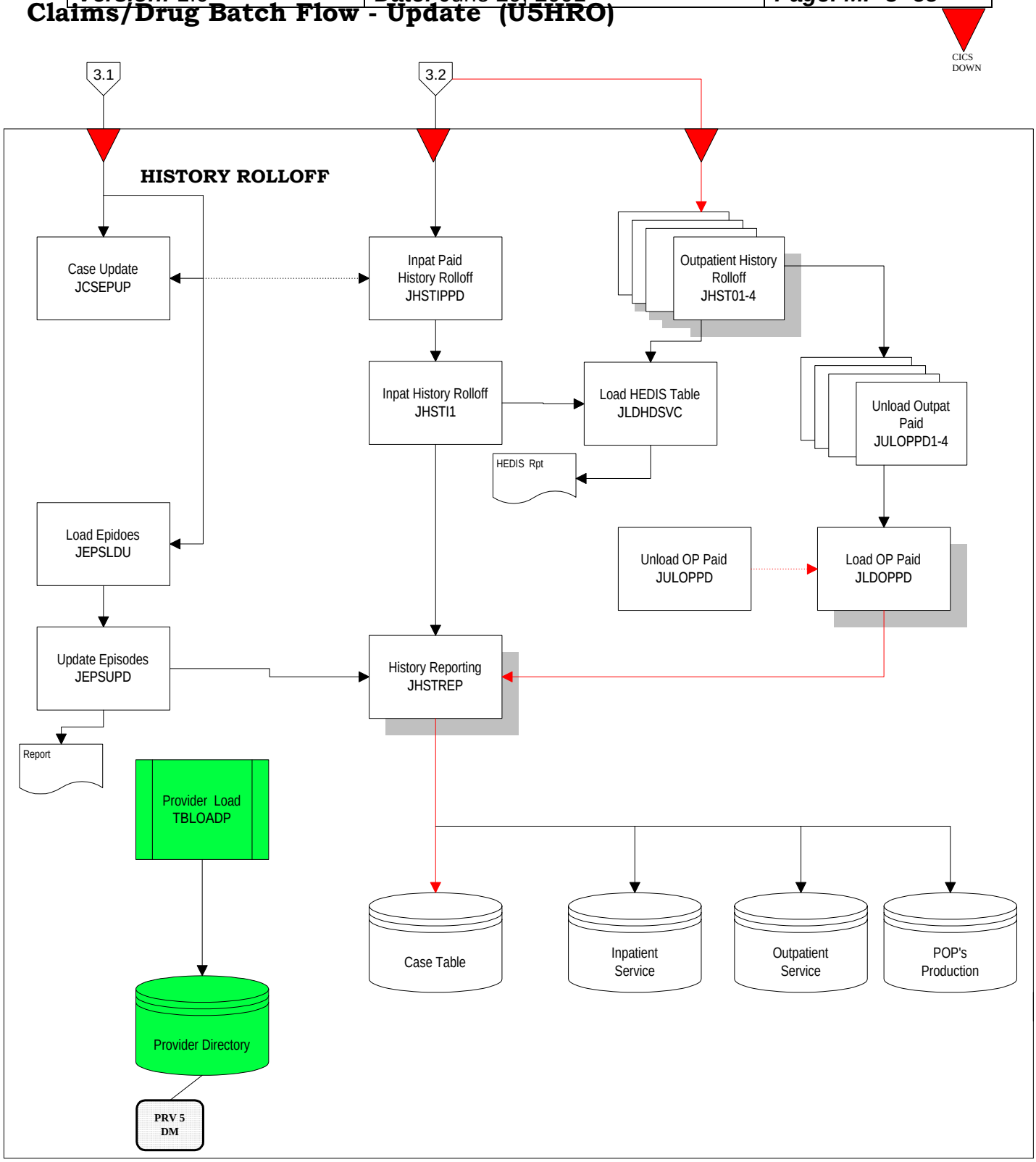


CICS UP

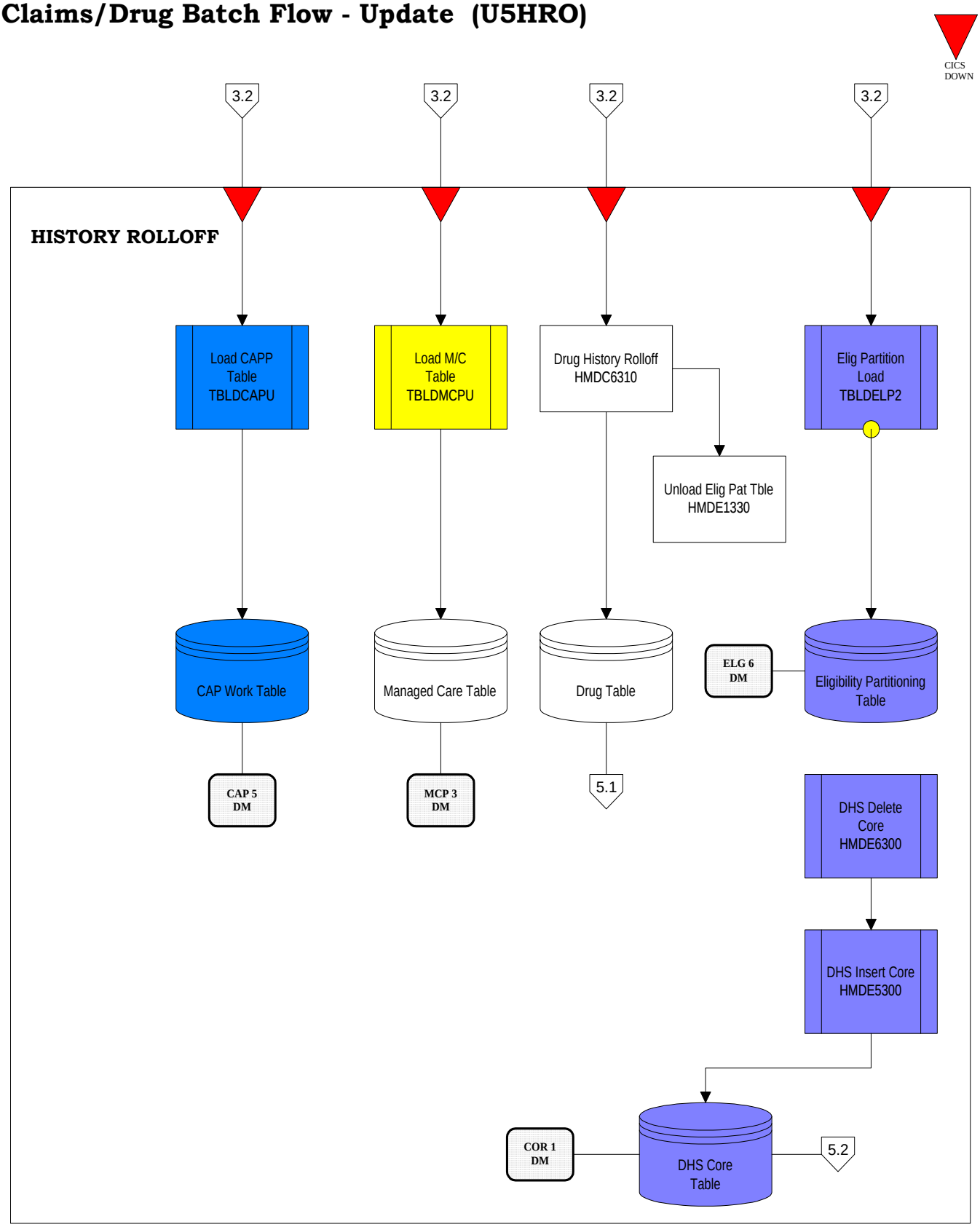
Claims/Drug Batch Flow - Update (U5CLMS2)



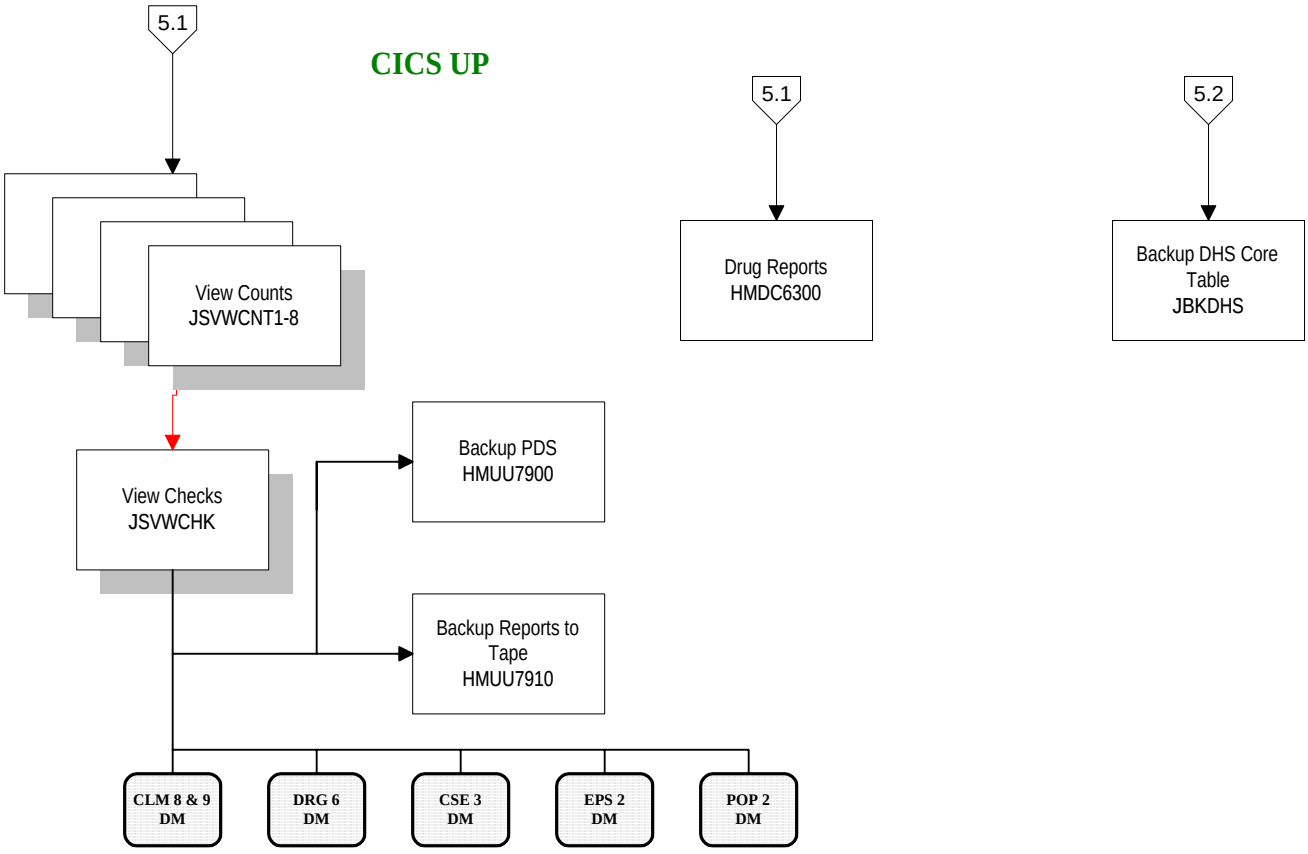
Claims/Drug Batch Flow - Update (U5HRO)



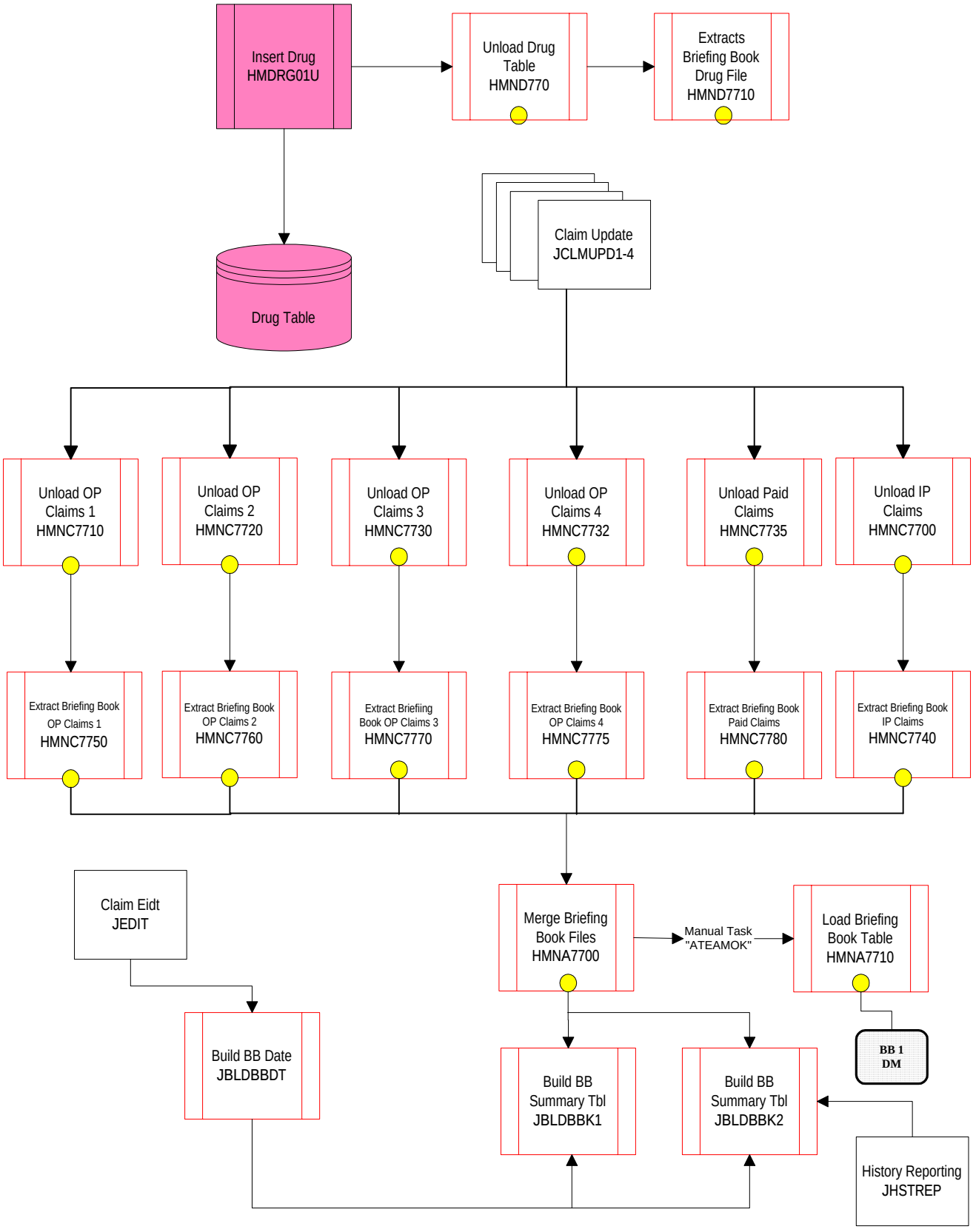
Claims/Drug Batch Flow - Update (U5HRO)



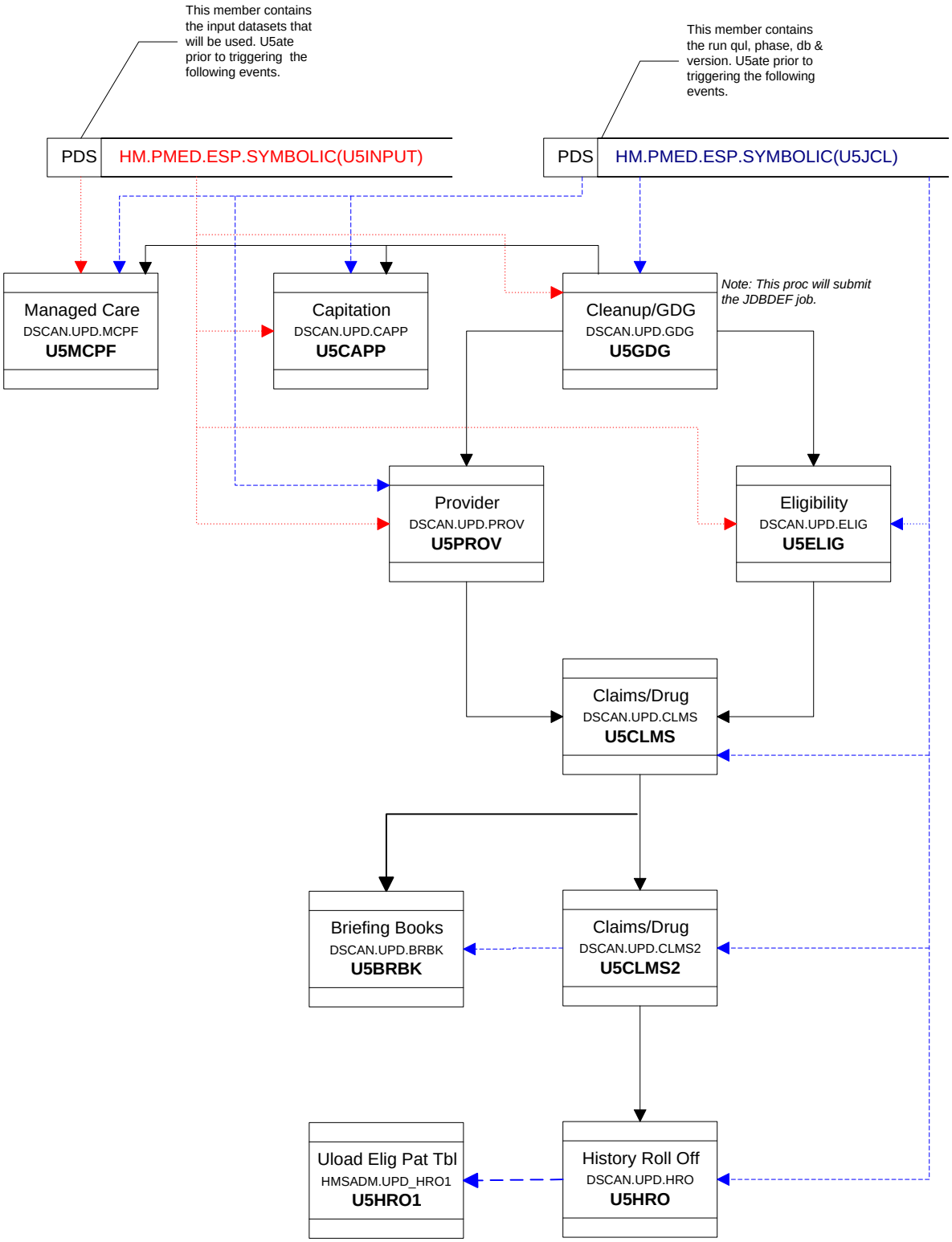
Claims/Drug Batch Flow - Update (U5HRO)



Briefing Book Batch Flow - Update (U5BRBK)



ESP PROCEDURE FLOW - UPDATE



1.13.3 Overview of the Build Jobs

Type	Job Name	Job Description
CU	HMDF1700	Enrollment Conversion Converts Manage Care Enrollment raw data to the format used by the DataScan System Database.
CU	HMDF1710	Enrollment Folog Report Produces the Failed Operations Log report from failure encountered during the conversion process of the raw data.
CU	HMDF1720	Financial Conversion Converts Manage Care Financial raw data to the format used by the DataScan System Database.
CU	HMDF1730	Financial Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDF1740	Member Month Conversion Converts Manage Care Member Months raw data to the format used by the DataScan System Database.
CU	HMDF1750	Member Month Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	TBLOADMC	Manage Care Table Load Loads the Manage Care table.
CU	HMDM1700	Capitation Conversion Converts Capitation raw data to the format used by DataScan System Database.
CU	HMDM1710	Capitation Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMPM4710	Capitation PV Extract Extracts the Capitation file for Panorama View.

CU – Custom Job: Job that has been developed specifically for the MIS/DSS. Not part of the DataScan base product.
CO – Core Job: Job that is part of the DataScan base product.

Type	Job Name	Job Description
CU	TBLDCAP	Capitation Table Load Load the Capitation table.
CU	HMDV0700	PMF GeoCode Converts the Provider PMF raw data for GeoCode.
CU	HMDV0710	MCP GeoCode Converts the Provider MCP raw data for GeoCode.
CU	HMDV1700	Provider Conversion Converts the Provider GeoCode data to the format used by DataScan System Database.
CU	HMDC1710	Provider Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the GeoCoding data.
CU	TBLOADP	Provider Table Load Load the Provider data to Provider Directory table.
CU	TBLOADBP	Provider Background Load Load the Provider Background table
CU	HMDE0700	Eligibility Splitter Splits the 30-month Eligibility input into five files sorted by start-date.
CU	HMDE0710-714	Eligibility GeoCode GeoCodes Eligibility raw data file prior to the conversion process.
CU	HMDE1701-05	Eligibility Conversion Converts the Eligibility GeoCode data to the format used by DataScan Database.
CU	HMDE1710	Eligibility Partitioning Splits Eligibility data into several partitioning files to prepare for partitioning.
CU	HMDE1720	Eligibility Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	HMDE1740	Continuous Enrollment Merges the five converted Eligibility tapes, and re-sequences the continuos enrollments afterwards.
CU	HMPE4700	Eligibility PV Extract Extracts the Eligibility file for Panorama View.
CU	TBLDELP2	Eligibility Partitioning Load Load the ELIG_PART file to the ELIG_PART table in the Build process.
CU	TBLDELGB	Eligibility Load Loads the Eligibility table for the Build process.
CU	TBLOADV	DHS Core Load Load the DHS table.
CU	HMDC1700-30	Claims Conversion Converts Claims raw data to the format used by the DataScan System Database.
CU	HMDC1740-50	Drug Conversion Converts Drug raw data to the format used by the DataScan System Database.
CU	HMDC1760-70	Claims Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDC1780	Claims Folog Report Prints the Failed Operations Log report to the printer.
CU	HMDC1790-1800	Drug Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDC1810	Drug Folog Report Prints Failed Operation Log report to the printer.
CU	HMPD4720	Drug PV Extract Extracts the Drug file for Panorama View.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CU	HMDRG01I-3I	Drug Edit Sorts the converted Drug files, inserts them into the table.
CU	HMDRGMRG	Drug Merge Merge the 10 files from created in the Drug Edit jobstreams.
CU	JLDDRUG	Drug Table Load Loads the Drug table.
CU	JCTGDG	Build GDG's Creates empty generation dataset groups that will be used throughout the build process.
CO	JDBDEF	Copy DB_Def Copies the DB_Def table to the WRK_DB_DEF table, allocates an EMP_ID/MEMBER_NBR driver file for JBUILD1-4, and allocates empty versions of all generation data group (GDG) files required by the batch process.
CU	JEDITSR1-4	Claims Edit Sort Sorts the converted Claims files.
CO	JEDIT1-4	Claims Edit Sorts the converted Claims file by clustering index assigns core fields, and edits claims.
CO	JDQIREP	DQI Report Generates the Data Quality Indicators Report.
CO	JSPLNEW4	Split New Inpatient Sorts the NEWCLAIM file, which contains new claims, by EMP_ID/MEMBER_NBR. It splits this file into four sorted NEWCLAIM files.
CU	JMERGOP	Merge OP Merges the 16 OP Claims file from JEDIT1-4.
CU	JDQIMRG	Merge DQI Files Merges the 4 DQI files for JEDIT1-4.
CU	HMPC4720	Caseable PV Extract Extracts the Panorama View Caseable data.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CU	HMPC4730	Non Caseable PV Extract Extracts the Panorama View Non Caseable data.
CO	JENROL11-15	POP's Build Sorts the converted Population file by clustering index and edits the data into a loadable file.
CU	JENROL19	POP's Build Merge Merge the converted Population files into one file.
CO	JLDWKPOP	Work POP's Load Loads converted Populations to the WORK_POP table.
CO	JBUILDI1-4	Build Inpatient Table Build cases from inpatient claims.
CO	JULPAT1-4	Unload Patient Creates four index files which identify the OP_CLAIM tables on which claims for a particular patient are located.
CU	JLOADIP	Load Inpatient Table Sort the Claim IP file. Loads the sorted file to the CLAIM_IP table.
CO	JLOADCSE	Load Case Table Sort the Case file. Loads the sorted file to the CASE_IP table.
CO	JULOPCL1	Unload OP Claims Unload from the OP_CLAIM1 tables all rows which should be retained at the end of the batch run.
CU	HMPB4710	Casedays PV Extract Extracts the Panorama View Case data.
CO	JLDOP1S	Load OP Claims Sorts and merge two OPCLAIM file from JMEROP and JULOPCL1 jobs, and loads to the OPCLAIM1 table.
CO	JLDCSE2	Load Case2 Table Updates the CASE2 table.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JEPSDRV4	Episodes Driver Creates four driver files that contain EMP_ID/MEMBER_NBRs and flags to indicate on which OP_CLAIM table these can be found. These files will be used by JEPSBLD1-4 jobstreams to build episodes.
CO	JEPSBLD1-4	Episodes Build Build episodes and generate the History Rolloff, DQ and Archived Episodes report files that will be used later in the update process to generate those reports.
CO	JEPSRPTR	Episodes Reporter Produces the Episodes Data Quality Indicator Report.
CO	JBINDBAT	Bind Batch Binds all of the batch programs after JLOADCASE and JCLOADIP.
CO	JBLDREP1-2	Build Reports Gathers statistics from the IP_CASE and IP_CLAIM tables to compute completion factors and generate the Inpatient Data Quality Indicators and Case Statistics reports.
CO	JHSTO1-4	History OP Roll claims off the OP_CLAIM1-4 tables.
CO	JLDHDSVC	Load HEDIS Table Loads the HEDIS_SVC table.
CO	JCSEUP	Case Update Updates the EPISODES_ID field on the IP_CASE table when episodes are enabled.
CO	JEPSLOAD	Load Episodes Load the Episodes records constructed by JEPSBLD1-4 to the Episodes table.
CO	JDRUGUP	Update Drug Table Updates Drug table with EPSIODE_IDs.
CO	JLDOPPD	Load OP Paid Table Sorts and merges the four WRKOPPDn files from JHOST01-4 and loads them on the OP_CLM_PD table.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JALLOC	Allocate Creates empty IP_CLM_PD and OP_CLM_PD financial information files, which are used for input to JHSTREP.
CO	JULOPPD	Unload OP Paid Unloads form the OP_CLM_PD tables, all rows which should be retained at the end of the batch run.
CO	JHSTI1	Inpatient History Rolloff Rolls cases and claims off the IP_CASE and IP_CLAIM tables.
CO	JHSTREP	History Reporting Produces the Incurred Rolled Off Amounts, Incurred Moved Into Paid Tables, and Paid Rolled Off Amounts reports, and updates the SOP_REP table.
CO	JBLDREP7	Build Reports Produces the Inpatient Case Data Quality Indicator and Statistics report.
CO	JCMPFCT	Completion Factors Computes completion factors and updates the WRK_C_FCTR table. Updates the ANALYSIS_START_DT and ANALYSIS_END_DT fields on the WRK_DB_DEF table.
CO	JSOPMRG	Merge SOP Files Merges four Source of Payment file from JEDIT1-4.
CO	JSOPREP	Source Of Payment Produces the Source of Payment Paid Basis and Source of Payment Incurred Basis reports.
CO	JSVWCNT	View Counts Counts the row in each of the security views.
CO	JSVWCHK	View Check Verifies the completion of the security views count task.
CO	JCLEANUP	Cleanup Clears records from the work tables and files.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CU	HMUU7900-10	PDS/Report Backup Backs up the Production PDS and Production Reports.
CU	HMND7700	Unload Drug Table Unloads Drug table for Briefing Book.
CU	HMND7710	Extracts BB Drug Extracts the Briefing Book Drug file.
CU	HMNC7745	Extracts BB IP Claims Extracts the Briefing Book IPCLAIM file from the IPLOAD file.
CU	HMNC7755	Extracts BB OP Claims Extracts the Briefing Book OPCLAIM file from the OPLOAD file.
CU	HMNA7705	Merge BB Files Merge Briefing Book extracted files.
CU	HMNA7710	Load BB File Loads the Briefing Book table.
CU	JBLDBBDT	Build BB Dates Build Briefing Book dates.
CU	JBLDBBK1-2	Build BB Summary Table Builds the Briefing Book Summary tables.
CO	JHECOLI	Eligibility Collapse Eligibility collapse for PMW.
CU	TBLOADEC	Load Eligibility Collapse Loads the Eligibility collapse table.
CO	JHELIGEX	Eligibility Extract The DQVALID step validates installation of the SAS access interface to DB2 product. The PELIGEX step creates a Eligibility view from CONV_POP table, and runs the SAS program to create 7 extract files from the DB2 tables.
CU	COPYPMW	Copy PMW Files Copies five files from Eligibility.

CO	JHDRUGVW	Drug View Unload Creates view of Drug table, unloads view for drug detail extract.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JHDRUGEX	Drug Extract Reads unload from the Drug file using this data. The Drug detail extract file created for PMW.
CO	JHCLMVW1-8	Claim View Unload Creates view of OP_CLAIMS1-8 table, and unloads V_CLAIMSVW_1
CO	JHCLMEXT	Claims Extract Sorts the OP_CLAIM file, Reads the sorted file, Manipulates the data and writes out the file to be passed to PMW.

CU – Custom Job CO – Core Job

1.13.4 Overview of the Update Jobs

Type	Job Name	Job Description
CU	HMDF1700	Enrollment Conversion Converts Manage Care Enrollment raw data to the format used by the DataScan System Database.
CU	HMDF1710	Enrollment Folog Report Produces the Failed Operations Log report from failure encountered during the conversion process of the raw data.
CU	HMDF1720	Financial Conversion Converts Manage Care Financial raw data to the format used by the DataScan System Database.
CU	HMDF1730	Financial Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDF1740	Member Month Conversion Converts Manage Care Member Months raw data to the format used by the DataScan System Database.
CU	HMDF1750	Member Month Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	TBLOADWK	Manage Care Work Table Load Loads the Manage Care Work table.
CU	HMDM1700	Capitation Conversion Converts Capitation raw data to the format used by DataScan System Database.
CU	HMDM1710	Capitation Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.

CU – Custom Job: Job that has been developed specifically for the MIS/DSS. Not part of the DataScan base product.
CO – Core Job: Job that is part of the DataScan base product.

Type	Job Name	Job Description
CU	HMPM4710	Capitation PV Extract Extracts the Capitation file for Panorama View.
CU	TBLDCAWK	Capitation Work Table Load Loads the Capitation Work table.
CU	HMDV0700	PMF GeoCode Converts the Provider PMF raw data for GeoCode.
CU	HMDV0710	MCP GeoCode Converts the Provider MCP raw data for GeoCode.
CU	HMDV1300	Monthly Provider Conversion Converts the Provider GeoCode data to the format used by DataScan System Database.
CU	HMDC1710	Provider Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the GeoCoding data.
CU	TBLOADPW	Provider Work Table Load Loads the Provider data to Provider Work table.
CU	TBLOADBP	Provider Background Load Load the Provider Background table.
CU	HMDE0300	Eligibility Splitter Splits the 30-month Eligibility input into five files sorted by start-date.
CU	HMDE0310-313	Eligibility GeoCode GeoCodes Eligibility raw data file prior to the conversion process.
CU	HMDE1300	Eligibility Conversion Converts the Eligibility GeoCode data to the format used by DataScan Database.
CU	HMDE1310	Eligibility Partitioning Splits Eligibility data into several partitioning files to prepare for partitioning.
CU	HMDE1320	Eligibility Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CU	HMPE4300	Eligibility PV Extract Extracts the Eligibility file for Panorama View.
CU	TBLDELP1	Eligibility Partitioning Load Load the ELIG_PART file to the ELIG_PART table in the Build process.
CU	TBLDELG1-4	Eligibility Load Loads the Eligibility table for the Update process.
CU	HMDA1700	Splitter Separate the F35 file into Drug and Claims.
CU	HMDC1700-30	Claims Conversion Converts Claims raw data to the format used by the DataScan System Database.
CU	HMDC1740-50	Drug Conversion Converts Drug raw data to the format used by the DataScan System Database.
CU	HMDC1760-70	Claims Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDC1780	Claims Folog Report Prints the Failed Operations Log report to the printer.
CU	HMDC1790-1800	Drug Folog Report Produces the Failed Operations Log report from failures encountered during the conversion process of the raw data.
CU	HMDC1810	Drug Folog Report Prints Failed Operation Log report to the printer.
CU	HMPD4720	Drug PV Extract Extracts the Drug file for Panorama View.
CU	JCRTGDG-2	Build GDG's Creates empty generation dataset groups that will be used throughout the update process.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JDBDEF	Copy DB_Def Copies the DB_Def table to the WRK_DB_DEF table, allocates an EMP_ID/MEMBER_NBR driver file for JBUILD1-4, and allocates empty versions of all generation data group (GDG) files required by the batch process.
CO	JEDIT	Claims Edit Sorts the converted Claims file by clustering index assigns core fields, and edits claims.
CU	HMPC4720	Caseable PV Extract Extracts the Panorama View Caseable data.
CU	HMPC4730	Non Caseable PV Extract Extracts the Panorama View Non Caseable data.
CO	JDQIREP	DQI Report Generates the Data Quality Indicators Report.
CO	JSPLNEW	Split New Inpatient Sorts the NEWCLAIM file, which contains new claims, by EMP_ID/MEMBER_NBR. It splits this file into four sorted NEWCLAIM files.
CU	JENROLO	Unload Eligibility Unloads Eligibility table based on APPL_IND for JENROL1 job.
CO	JENROL1	POP's Build Sorts the Converted Population file by clustering index and edits the data into a loadable file.
CO	JLDWKPOP	Work POP's Load Loads converted Populations to the WORK_POP table.
CO	JBUILD1-4	Build Inpatient Table Build cases from inpatient claims.
CO	JCASEUP1-4	Case Update Update the IP_CASE table.
CO	JINSCLM1-4	Insert Claims Insert claims from the OPCLAIMn file to the appropriate OP_CLAIM tables.
CO	JCLMUPD1-4	Claims Update Update the IP_CLAIM and IP_CLAIM1-4 table.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JLDCSE2U	Case 2 Table Update Update the CASE2 table.
CO	JDELDRV	Delete IP/OP Claims Table Selects records to be deleted from IP_CLAIM table.
CU	HMDRG01U	Insert Drug Sorts the converted Drug files, inserts them into the Drug table and makes a image copy backup of the Drug table.
CU	HMPB4710	Casedays PV Extract Extracts the Panorama View Case data.
CO	JCLMDL01-4	Delete OP Claim Table Deletes claim records from the OP_CLAIM tables.
CO	JLDCLMO1-4	Load OP Claim Table Load additional claim records into the OP_CLAIM tables.
CO	JCLMDLIP	Delete IP Claim Table Deletes claim records from the IP_CLAIM table
CO	JLDCLMIP	Load IP Claim Table Load additional claim records into the IP_CLAIM tables.
CO	JICOP1	Image Copy Outpatient Make an image copy backup of the OP_CLAIM table.
CO	JICIP	Image Copy Inpatient Make an image copy backup of the IP_CLAIM table.
CO	JBLDREP1-2	Build Reports Gathers statistics from the IP_CASE and IP_CLAIM tables to compute completion factors and generate the Inpatient Data Quality Indicators and Case Statistics reports.
CO	JUPPAT1-4	Update Inpatient Create four index files which identify the OP_CLAIM and tables on which claims for a particular patient are located.
CO	JEPSDRV	Episodes Driver Creates four driver files that contain EMP_ID/MEMBER_NBRs and flags to indicate on which OP_CLAIM table these can be found. These files will be used by JEPSBLD1-4 jobstreams to build episodes.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JEPSBLD1-4	Episodes Build Build episodes and generate the History Rolloff, DQ and Archived Episodes report files that will be used later in the update process to generate those reports.
CO	JEPSRPTR	Episodes Reporter Produces the Episodes Data Quality Indicator Report.
CO	JDRUGUPD	Drug/Episodes Update Updates Drug table with EPISODE_IDs
CO	JBLDREP7	Build Reports Produces the Inpatient Case Data Quality Indicator and Statistics report.
CO	JCMPFCT	Completion Factors Computes completion factors and updates the WRK_C_FCTR table. Updates the ANALYSIS_START_DT and ANALYSIS_END_DT fields on the WRK_DB_DEF table.
CO	JSOPREP	Source Of Payment Produces the Source of Payment Paid Basis and Source of Payment Incurred Basis reports.
CO	JICCASE	Image Copy Cases Makes an image copy backup of the IP_CASE.
CO	JHSTOPPD	Outpatient History Rolloff Unloads from the OP_CLM_PD table all rows that should not be rolled off, then rolls claims off the OP_CLM_PD table.
CO	JCSEPUP	Case Update Updates the EPISDOE_ID field on the IP_CASE AND IP_CASE table when episodes are enable.
CO	JEPSLDU	Load Episodes Appends information from the file created in the JEPSBLD1-4 jobs to the EPIS_LINK tables.
CO	JEPSUPD	Update Episodes Updates and rolls records off the EPIS table.
CO	JHSTIPPD	Inpatient Paid History Rolloff Rolls claims off the IP_CLM_PD table.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CO	JHSTI1	Inpatient History Rolloff Rolls cases and claims off the IP_CASE and IP_CLAIM tables.
CO	JLDHDSVC	Load HEDIS Table Loads the HEDIS_SVC table.
CO	JHSTREP	History Reporting Produces the Incurred Rolled Off Amounts, Incurred Moved Into Paid Tables, and Paid Rolled Off Amounts reports, and updates the SOP_REP table.
CO	JULOPPD	Unload OP Paid Unloads form the OP_CLM_PD tables, all rows which should be retained at the end of the batch run.
CO	JULOPPD1-4	Unload OP Claim Unloads from OP_CLM_PD tables all rows which should be retained at the end of the batch run.
CO	JLDOPPD	Load OP Paid Table Sorts and merges the four WRKOPPDn files from JHOST01-4 and loads them on the OP_CLM_PD table.
CU	TBLOADP	Provider Table Load Load the Provider data to Provider Directory table.
CU	TBLCAPU	Load Capitation Table Loads the Capitation table.
CU	TBLDMCPU	Load Manage Care Table Loads the Manage Care Table.
CU	HMDC6310	Drug History Rolloff Identifies the Drug rows to have the APPL-IND changed from N to Y and also those to roll off. Reads the pre-file and does the physical modification and delete.
CU	HMDE1330	Unload Eligibility Pat Table Unloads the ELIGPART table.
CU	TBLDELP2	Eligibility Partition Loads the ELIG_PART file to the ELIG_PART table in the build process.

CU – Custom Job CO – Core Job

Type	Job Name	Job Description
CU	HMDE6300	DHS Delete Core Deletes DHS data in the DB2 table from the DHS driver file created in job HMDE1300 in the update process.
CU	HMDE5300	DHS Insert Core Deletes DHS data in the DB2 table from the DHS driver file created in job HMDE1300 in the update process
CU	HMDC6300	Drug Reports Produces financial reports for rolled off drug rows.
CU	JBKDHS	Backup DHS Core Creates backup of the vital.
CO	JSVWCNT	View Counts Counts the row in each of the security views.
CO	JSVWCHK	View Check Verifies the completion of the security views count task.
CO	JCLEANUP	Cleanup Clears records from the work tables and files.
CU	HMUU7900-10	PDS/Report Backup Backs up the Production PDS and Production Reports.

CU – Custom Job CO – Core Job

Table of Contents

1. Panorama View Database Build

1.1 Overview

Panorama View, MEDSTAT's executive information system, is designed to provide managers and analysts with access to both detailed and summary information. Panorama takes advantage of both multidimensional database and relational database technology to optimize information retrieval and presentation. Panorama View is used by the California Department of Health Services Medi-Cal program as a component of the Management Information System and Decision Support System (the MIS/DSS).

The process to build/update a Panorama View database starts with the completion of the Case build in the DataScan database build/update cycle. Data is extracted from the DB2 tables, loaded onto the Panorama NT Server and sent through the Panorama View build steps. Validation of each step in the Panorama View database build is documented in the Panorama View System Test plan.

The process steps for a Panorama View update are basically the same as a build. The total record counts will be significantly smaller during an update, but the overall process is the same. Slight deviations from the standard process for an update are documented in detail in the Panorama View Administrator's Guide.

1.2 Purpose

The purpose of this document is to guide the implementation of each Panorama View database build/update.

1.3 Scope

This document will be used by the project team member responsible for building/updating the Panorama View database.

1.4 Responsibility and Enforcement

The project team member assigned to the Panorama View database build/update is responsible for each step of the Panorama View build/update process.

The Data Manager assigned to the build/update validation during the particular build/update cycle will perform test cases for record balancing.

1.5 General Considerations

The Panorama View Administrator's Guide outlines each step of the Panorama View build/update process in great detail and should be used as a step by step instruction manual.

1.6 Skill Requirements

A wide range of skills are required to build a Panorama View database.

1. Knowledge of the Medi-Cal DataScan database and how it is related to the customization of the Panorama View software
2. Understanding of the Panorama View Catalog Implementation Guide including attachments
3. Knowledge of MS Access databases
4. Knowledge of the IR tool and process
5. Knowledge of DB_DIFF database comparison software
6. Knowledge of MKS Source Integrity
7. Knowledge of PCAnywhere
8. Basic knowledge COBOL and JCL
9. Ability to maneuver on the mainframe in TSO
10. Understanding of MS NT Server
11. Knowledge of IBM's Universal DB2 database software and its database components
12. Understanding of Pilot Analyses Decision Support Suite

1.7 Entry Criteria

Before a Panorama View database can be built or updated, the Case Build in the DataScan build/update cycle must be complete. In addition, the Data Manager assigned to the validation of the DataScan build/update cycle must sign off on the Panorama View extracts. Included within the Database Build and Update process for DataScan are job flows that indicate the timing of the Panorama View extracts within the DataScan build/update process.

The Panorama View Extracts are:

- Eligibility
- Capitation
- Non-caseable claims
- Caseable claims
- Case Days

Refer to the Panorama View Catalog Implementation Guide (Attachment 4) for the Panorama View extract specifications. A copy of this Guide is included in the Technical Guides (TG) section of the process documentation.

1.8 Procedure Steps

There are several steps required to complete a successful Panorama View database build/update. Each one of these steps will be addressed separately:

1. Install the Panorama View Server

2. Panorama Setup (Catalogs)
3. Extract relevant data from the DataScan database
4. Load the input data onto the Panorama NT Server
5. Build/update the Panorama View database
6. Create build/update logs and reports to be used in the database validation
7. Validate the Panorama View database
8. Move the new database to the Production server

1.8.1 Install the Panorama View Server

The Panorama View Server has three components – the Panorama Build Graphical User Interface, the Panorama Build Server and the Data Bridge Server. The Panorama Build Graphical User Interface allows you to select the build steps to install or update the database. The Panorama Build Server actually performs the steps to create or update the multidimensional database used in the Panorama View displays. The Data Bridge Server accepts requests for data from personal computers running the Panorama View Client, pulls the data from the multidimensional database, and then send the data back to the personal computers.

The Panorama View Administrator's Guide outlines each step of the Panorama View Server setup process in great detail and should be used as a step by step instruction manual.

1.8.2 Panorama Setup (Catalogs)

The information displayed in Panorama View is based on a set of catalogs, or tables containing information about how data will be summarized and displayed in the system or how data will be converted by the Panorama build/update process. The Panorama View Catalog Implementation Guide is used to capture the client specific customization of Panorama View. These catalogs exist in the form of Microsoft Access tables and INI files. The Panorama View Administrator's Guide outlines each step of the creation of the catalogs in great detail and should be used as a step by step instruction manual.

Any change in the client specific Panorama View Catalog Implementation Guide will institute a change to the catalogs used in the build/update. Once this occurs, there are several steps that must take place.

1.8.2.1 Change is made to the Panorama View Catalog Implementation Guide

Changes to the the Implementation Guide along with the Catalog Maps (attachment 1) will initiate a change to the catalogs used in the build/update. Before a Panorama View build or update, the IR tool is queried for any changes that would affect Panorama View. The specific change is made and documented in the revision history. For example, if NETWORK 014 is changing to Cntl Coast Alliance, the following change would be made to the Catalog Maps:

012	HP of San Mateo (COHS)	COHS

013	Santa Barbara HA (COHS)	COHS
014	Cntl Coast Alliance (COHS)	COHS
015	Partnership HP (COHS)	COHS

This change would also be documented in the revision history:

Test Base 5.3 - 4/27/2000 - C.Swanson
Updated the spelling of NETWORK 014 to Cntl Coast Alliance. This update affects the NETWORK values, Capitated Plan Network values and Capitated Plans with Confidential Payments

1.8.2.2 Requested change is sent to the Panorama View Production Team

After the documentation is updated appropriately for the changes required for a Panorama View build or update, an email is sent to the Panorama View Production team with the appropriate files attached.

1.8.2.3 Updated Panorama View Catalogs are received from the Production Team

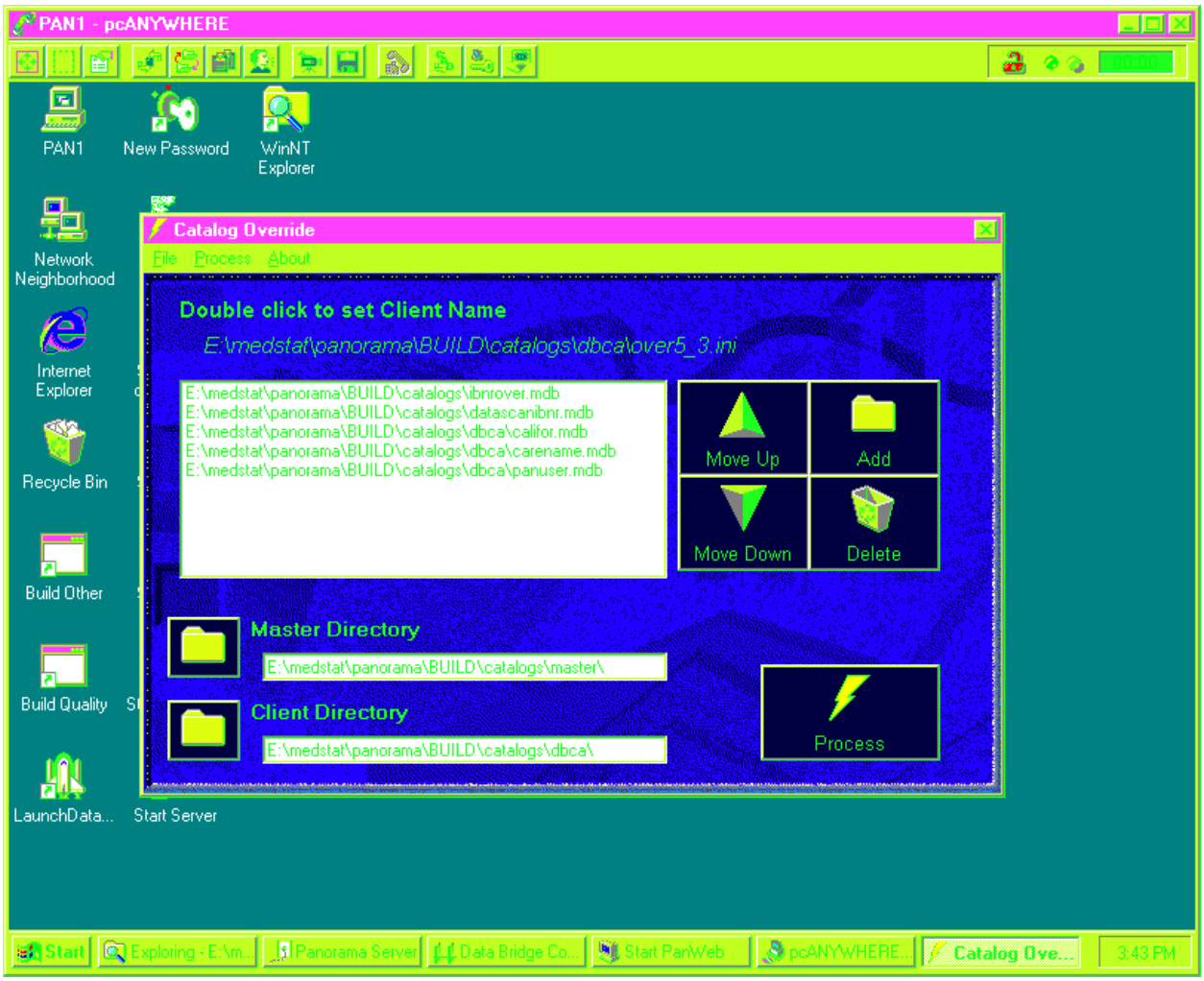
The Panorama View Production Team checks the previous version of the catalogs out of MKS Source Integrity, completes the specified catalog updates, checks the catalogs back into MKS Source Integrity and places the new client specific catalog in a staging area on the server where the build or update will take place.

1.8.2.4 CATOVER is run

The CATOVER process, described in detail in the Panorama View Administrator's Guide, takes the standard catalog settings and applies the client specific customizations to create the catalogs used in the build or update.

On the desktop of the server used for the build/update is an icon for the CATOVER process. When this executable is opened, the standard and client specific catalogs must be added appropriately according to the Panorama View Administrator's Guide. To execute the CATOVER, the button labeled 'Process' must be selected. Once the CATOVER completes, the catalogs used for the build/update will be in the subdirectory specified in the setup. These catalogs are checked into MKS Source Integrity and labeled appropriately for the build/update.

The following is a screen shot of a typical CATOVER setup.



1.8.2.5 Database compares are produced to ensure all changes have been incorporated

Database compares are produced to ensure that the specific changes requested in the Implementation Guide and Catalog maps were included in the new client specific catalog. The database comparison software that is used is DB_DIFF. To run a database compare, the following steps must be performed:

1. Open the *Control Panel* of the PC that the DB_DIFF software will run from
2. Double click on the *ODBC Data Source*
3. Select the File DSN folder
4. Select *ADD* to create a new File DSN
5. Type in the desired name of the new DSN (i.e. panoramaOLD)
6. Select *NEXT*
7. Click on the *SELECT* button under the database name
8. Browse to select the database that the new DSN will point to
9. Click *OK* twice

10. Repeat steps 4 through 9 to create the second DSN that will be used in the compare
11. Close the Control Panel
12. Open the DB_DIFF software
13. Under *DB_DIFF*, select *Start DB_DIFF*
14. Click *Press to Select Data Source 1* and select the file DSN that was previously created
15. Repeat to select the second file DSN
16. Make sure that all DB_DIFF options are checked
17. Click on the *General* tab and ensure that the *Process Complete Report to Screen*, Use *DBMS Specific Data Types* and *Treat all Object Names as Special* are all checked
18. Click *OK*
19. Click *Start*

The DB_DIFF will compare the two databases specified and output to the screen all differences found. These differences should directly correlate to the catalog changes requested. Save the report to the LAN.

Once the requested catalog changes have been verified by the DB_DIFF report, the catalogs are ready for the Panorama View build/update.

1.8.3 Extract relevant data from the DataScan database

The Panorama View database is built/updated from data that is extracted from the DB2 Tables used in DataScan. Included in the Panorama View Catalog Implementation Guide (Attachment 4) are the DataScan extract specifications for each relevant DataScan table. The DataScan build/update cycle includes the Panorama View extract jobs. The project team member responsible for the validation of the build/update cycle validates the total records extracted for the Panorama View build/update as part of the DataScan build/update validation process.

1.8.4 Load the input data onto the Panorama NT Server

After the relevant data is extracted from the DataScan database, it is loaded on the Panorama build server. When each extract job completes, the project team member assigned to the Panorama View build/update views the output on the mainframe in IOF. After each extract is validated, the data is ready to be loaded onto the Panorama build server.

Each 3490 tape is mounted on the NT server's tape device. The software on the server used to read the tapes is *InterTape*. Once *InterTape* is open, several settings must be configured in order to read the data properly.

1. Under the *Autoloader* menu, select *options*
2. Check the box next to *Smart Detect* and make sure that *Set the Order of Tape Volumes* is unchecked
3. Select OK

4. Under the *Autoloader* menu, select *Find all Cartridges* and make sure that the number of tapes detected is the same as the number of tapes that was mounted
5. Under the *Read Tapes* menu, select *options*
6. Make sure that *Use User Translation Table Number* is checked and the number *5* is typed in the box. Also make sure that *Place a CR LF After Each Record* is also selected
7. Select OK
8. Press the *Smart Read* button
9. A dialog box appears and the user is promoted for the location where the data will be saved on the server
10. Enter the desired location and press OK
11. The total number of records processed by InterTape is displayed after each file is read. This number must balance back to the number of records extracted from DataScan

Repeat steps 9,10 and 11 until all files are read and saved on the server.

1.8.5 Build/update the Panorama View database

After the raw data has been loaded onto the Panorama build server and validated, the Panorama Database Build Checklist and Checklist Supplement is used to start the build/update (see Appendix 1.13). This checklist details out each configuration setting, validation check and administrative step that must be completed before the Panorama View build/update begins on the server. The *Pre-Flight* section of the checklist must be filled out completely before continuing on in the Panorama View Build/update process.

Once the *Pre-Flight* section of the Panorama Database Build Checklist has been completed, the build/update is ready to be kicked off. The Panorama View build/update is split into two processes, the *Quality* side and the *Other* side. To execute each process, the following steps are performed:

Other

1. On the Desktop find 'PanServ Other 7777', double click on this icon and minimize
2. On the Desktop find 'Panorama Build' (genie's lamp icon) double click on the icon
3. Click on the 'Load Setup' button. This should load the values into the upper portion of the panel.
4. For 'Other' make sure Port is set to 7777
5. Click on button below the upper panel and select 'Other Install' for a build or 'Other Update' for an update
6. Click on button below the steps panel and select 'Select All Steps', this will highlight all steps
7. Click on 'Make it So' to start build process
8. View the build status in the text box at the bottom of the build GUI

Quality

1. On the Desktop find 'PanServ Quality 7778', double click on this icon and minimize

2. On the Desktop find 'Panorama Build' (genie's lamp icon) double click on the icon
3. Click on the 'Load Setup' button. This should load the values into the upper portion of the panel.
4. For 'Quality' make sure Port is set to 7778
5. Click on button below the upper panel and select 'Quality Install' for a build or 'Quality Update' for an update
6. Click on button below the steps panel and select 'Select All Steps', this will highlight all steps
7. Click on 'Make it So' to start build process
8. View the build status in the text box at the bottom of the build GUI

After the Panorama View build/update has been initiated, the Panorama Database Build Checklist is used for *In-Flight* activities including the monitoring of the build logs and the review of the Dates Report.

The Panorama View Administrator's Guide outlines each build/update step and gives detailed instructions on whether or not the specific step can be restarted. This guide should be used in conjunction with the Panorama Database Build Checklist.

Once the database build/update is complete, the section of the Panorama Database Build Checklist titled *Post-Flight* must be completed. This includes a backup of the DB2 database as well as a server backup.

1.8.6 Create build/update logs and reports to be used in the database validation

There are several build/update logs and reports that must be created once a Panorama View database build/update completes.

1.8.6.1 Execution of the ATF scripts

1. Sign onto the *LOUIE* server through PC Anywhere
2. If a remote session has not been defined yet then define one with the following parameters

   Server name Louie
   Server address LOUIE
   Protocol SPX.
3. Point the machine to the correct Panorama Database that the snapshots will be created for
4. Double Click on the *Change Panorama Host* ICON (hand with index finger pointing)
5. Change the *Host name* to the IP address of the Panorama build server
6. Leave the Database name as mddb
7. Close
8. Kick off *Panorama* by double clicking on the *Panorama* ICON that is named only PANORAMA
9. Validate that this is the correct database by the date, values in a couple of the reports and settings are correct.

10. To start ATF, open the file *Maintest.DTL* in U:\ATF\Atf_scripts\main\
11. Scroll to *CONSTANT', TESTBASE* and change to 'MEDxx' (where xx is the database ID_
12. Save Maintest.DTL
13. Create directory U:\ATF\Atf_reports\MEDxx (where xx is the database ID)
14. Click START\Programs\ATF Testwright Version 5.1\ATF TestBuilder
15. Open file U:\ATF\ATF_scripts\Main\Maintest.DTL
16. Scroll down and verify Testbase = 'MEDxxx'
17. Click on the Rocket Ship ICON
18. Click 'OK' on Execute test
19. Signoff of PCAnywhere
20. ATF screen will display a green bar at the bottom of its screen with *Finished Execution*
21. The whole process will take approximately 35 minutes to complete (allow 45 before checking).
22. If the process fails just restart the script again.
23. When complete, email the reports in the MEDxx directory to the project team member responsible for the database build/update validation

The following reports are created: Eligrpt.xls, Expnrpt.xls, Prvarpt.xls, Prverpt.xls, Qultyrpt.xls, Utilrpt.xls

1.8.6.2 Creation of the Completion Factor Reports

1. Sign on to the PAN1 server through PC Anywhere.
2. Open DB2 command window
3. At the prompt enter: DB2 connect to dbca
4. Enter: DB2 select * from ibnr_master > d:\temp\ibnrm.txt
5. Enter: DB2 select * from ibnr_final > d:\temp\ibnrf.txt
6. When complete, exit

Each step can take a while depending on the size of the DB2 database. After the reports are created, use PCAnywhere's file transfer utility to transfer them to the LAN.

1.8.6.3 Creation of the Log Macro for the build/update runtimes

1. File transfer the bldother.log and bldqlty.log reports from the server to the LAN.
2. Open the parselog.xls and fill in the appropriate directories where the build logs are saved
3. *Run* the macro

1.8.6.4 Complete the PV Production Spreadsheet

1. Bring up NT Explorer and go to the following directory: W:\public\Pan1_1\build\
2. Open the most recent version of either the UPDATE or BUILD spreadsheet
   Named as follows: PANbldxx.xls or PANupdxxx.xls

3. Rename the spreadsheet to the current build or update name.
4. Open the Other and Quality build logs previously transferred from the build server
5. Scan through the logs to find the appropriate time stamps and counts (use the title on the line in the spreadsheet to search the log).
6. The following worksheets will need to be completed:
   - Control Counts
   - Install – Other
   - Install – Quality
   - Update – Other
   - Update – Quality
7. Send to Responsible DM

Once the logs and reports have been created and saved on the LAN, ensure that the Panorama View database is accessible. Sign onto the build server and perform the following:

1. On the desktop, click on *Start Server*
2. Click on *PanWeb* and minimize
3. Click on *Shortcut to DataBridge*
4. Click on *Start DataBridge*.
5. Respond by clicking on *OK* and close the *Shortcut to DataBridge* window
6. Start the application on a workstation and sign on as one of our test users to validation security and the base

1.8.7 Validate the Panorama View database

After the Panorama View database build/update is complete, validation test cases are executed to ensure the inclusion of all relevant data. The specific tests that are executed are detailed in the Build/Update Validation and Panorama View System Test Plan Access databases.

1.8.8 Move the new database to the Production server

The Panorama View database is built/updated on the Panorama View Build server. After the database build/update completes and all the validation tests have been executed, the Panorama View database must be moved to the Panorama View Interactive Server. To move the Panorama View database to the Interactive server, perform the following:

1. Sign on to the PAN2 server through PC Anywhere.
2. Close the Databridge, PANWeb, and the PANORAMA server.
3. Rename the current databridge.log to CCYYMMDDAdbridge.log (todays date)
4. Move it to the Dbridge directory under the ‘mddb’ directory.
5. Bring up NT Explorer and go to D:\medstat\panorama\mddb\
6. Create a backup directory PANxxxbk (xxx last production base) and move the contents of the current ‘mddb’ directory into the backup directory created.
7. Create a NEWmddb directory

8. From a mapped drive on the build server, transfer the contents of the mddb directory on the build server to the NEWmddb directory on the interactive server
9. Once the ok has been given to 'Turn on Production', move the contents of the newly created NEWmddb directory to the d:\medstat\panorama\mddb\ directory.
10. To restore the production user logins, move the Panorama.sec file from the created backup directory (PANxxxbk) into the d:\medstat\panorama\mddb\ directory.
11. Update the two files *Filelist* and *Whatsnew* that can be found in directory d:\medstat\panorama\mddb\update\
12. Click on *Start Server*
13. Click on *PanWeb* and minimize
14. Click on *Shortcut to DataBridge*
15. Click on *Start DataBridge*.
16. Respond by clicking on *OK* and close the *Shortcut to DataBridge* window
17. Start the application on a workstation and sign on as one of our test users to validate security and the base
18. View a few reports in Panorama View to ensure that the database was transferred correctly

1.8.8.1 Add new users to the Panorama Interactive Server

1. Sign on to the PAN2 server through PC Anywhere
2. Shutdown the Databridge
3. Shutdown the *PanWeb* window
4. Double click on *New Passwords* Icon (looks like a key in a lock)
5. Double click on *mddb*
6. Double click on *panorama.sec*
7. Click on 'Add User'
8. Enter the new *User Name* and *Password* and click on *OK*
9. Repeat the above two lines for each additional user you have to add
10. Close the window by clicking on the *X* button
11. Start up PanWeb (the DataBridge is automatically started when the first user signs into Panorama)

1.9 Exit Criteria

After the Panorama View System Test Plan has been executed, the Panorama View database is ready for release.

1.10 Forms and Subject Examples

NA

1.11 Reference Material

The following reference manuals are used during and/or after the Panorama View database build/update process:

1. Panorama View Administrator's Guide
2. Panorama View Catalog Implementation Guide and corresponding attachments (Attachment 1 of this document)
3. Panorama Database Build Checklist (Attachment 2 of this document)
4. Panorama View System Test Plan
5. DataScan Build/Update Process Flow
6. DataScan Build/Update Validation Process

1.12 History

Established/Revision Date	Established/Revised By	Change Description
5/01/00	Carrie Swanson	Initial process documentation
2/15/01	Carrie Swanson	Added reference to Panorama View Build Checklist Supplement
6/20/01	Todd Jackman	Modified Table of Contents to reflect the process template. Included Appendix items.
7/16/01	Carrie Swanson	Updated the process for adding new users.
9/12/01	Carrie Swanson	Corrected grammar as a result of the Logicon review. Removed reference to the 'magic' list in the build checklist – no longer used and clarified.

1.13 Appendix

1.13.1 Panorama Database Build Checklist and Checklist Supplement

The following attachment is a sample of the Panorama Database Build Checklist.

Table of Contents

1. Briefing Book Update

1.1 Overview

The Briefing Book in Panorama View contains a variety of robust reports that add analytic value to the MIS/DSS system. There are currently three categories of reports that are routinely updated: 1) Plan Profile reports, which compare financial and utilization performance among the health plans; 2) Provider Profile reports, which identify top providers utilizing a variety of volumetric measures; and 3) Recipient Profile reports, which identify services to Medi-Cal recipients by top diagnostic categories, drug groups and service types. This document outlines the process by which all of these reports are updated.

1.2 Purpose

This document outlines the steps necessary to create and ensure the accurate and timely updating of the Briefing Book reports.

1.3 Scope

This document will be used by any MIS/DSS Project Team member responsible for updating the Profile Reports.

1.4 Responsibility and Enforcement

The MIS/DSS Project team is responsible for the enforcement of this document.

1.5 General Considerations

There are no general considerations for this process.

1.6 Skill Requirements

The skills required for the completion of this process include familiarity in following areas:

- Mainframe processes, including JCL and SPUFI
- MS Access, including ODBC linking and complex queries
- MS Excel, including cutting, pasting and formatting cells
- MyEureka!
- HTML programming
- DataScan

1.7 Entry Criteria

This process is entered each time the Briefing Books need to be created.

1.8 Procedure Steps

1.8.1 Plan Profile Reports

The process for capturing and preparing information for the Briefing Book's "Plan Profiles" currently takes place in four separate computing environments. In each consecutive application, the data is progressively summarized, refined and formatted for viewing. Raw data is initially captured in the **DB2** environment where **SPUFI routines** containing **SQL** statements query the mainframe and create tables containing their results. OBDC linking allows those tables to be queried in **MS Access** where the data is further queried until it can be summarized into just two tables, a financial and a utilization summary. Those two tables are then copied into **MS Excel** where the figures for each respective health plan are inserted by cut-and-paste into separate worksheets and displayed and compared in both tabular and graphical form. Lastly, the MS Excel spreadsheets are imported into an **HTML** environment where they are formatted for web viewing.

1.8.2 Plan Profile Procedure Steps

1.8.2.1 Step One: DB2 Extract

The first step in the process for generating plan profile data is the initial data extract in which a series of queries on the IP, OP, and Drug claims is run and the resulting data is merged together and uploaded into a consolidated Briefing Book Extract table. This process is included in the regular scheduled jobs with each monthly update.

1.8.2.2 Step Two: DB2 Summarization

Twelve (12) query scripts to the consolidated Briefing Book Extract Table, called SPUFIs, are initiated by a routine entitled: BB#.

The twelve JCL query scripts, known as SPUFIs, which generate the raw data for the Briefing Book Plan Profiles, are as follows:

1. BB#DATES: Sets the date parameters for the data to be extracted.
2. BB#CLMS: Creates the Claims summary table: ***BB_CLMS_SUM***
3. BB#DRUG: Creates the Drug summary table: ***BB_DRUG_SUM***
4. BB#ENC: Creates the Encounter summary table: ***BB_ENC_SUM***
5. BB_BABY2: Creates the Ambulatory Claims summary table of visits and immunizations for children less than 2 years of age: ***BB_BABY_AMBPROC***
6. BB#CASE: Creates the Case summary table: ***BB_CASE_SUM***

7. BB#CASE2: Creates a Case summary table that identifies records with a Principal Diagnosis Category of Asthma or Diabetes**: *BB_CASE_PDX***

8. BB#MCPF: Creates the Managed Care Plan Financials summary table: ***BB_MCPF_SUM***

9. BB_BABY1: Creates the Population table for eligibles less than 2 years of age: ***BB_BABY_POPS***

10. BB#POPS: Creates the Population summary table: ***BB_POPS_SUM***

11. BB#POPS2: Creates the Quarterly Enrollment Summary Table: ***BB_POPS_QTRLY***

12. BB#POPS3: Creates the Population Summary Table displaying population at end-of-quarter: ***BB_BABY_POPSQTR***

Scripts 1-5 can run immediately after the Briefing Book Extract table is completed. Scripts 6-12 must be run after the History Rolloff (HRO) is completed and scripts 1-5 are completed.

1.8.2.3 Step Three: Microsoft Access

MS-Access data for the Briefing Book Plan Profiles resides in the following sub-directory on the MEDSTAT network: W:\CA_MED\ANALYSIS\BRIEFING BOOK\

A. Naming Conventions: A **new** subdirectory under this path is created for each data extract, by copying and **renaming** the subdirectory from the previous data extract. The name of subdirectory is that of the current extract period. The Access database in this directory is known as **BB_Creation** followed by a suffix, which likewise, indicates the current extract period.

B. The newly created **MS-Access database** copied from the previous data extract is opened and the tables that were created for that extract must be deleted so they will not become confused with new tables to be created for the current extract.

C. The next step is **attaching** to the tables created in DB2 during Step One. Table attaching, or linking, is a method of viewing and editing data tables outside the database without having to import and create a new copy of that table inside the database. To create a table link select the following menu options:

File – Get External Data – Link

Since the data is in a data format other than Access, it is necessary to select the correct format from a pick list of formats at the bottom center of the page. The correct selection is **ODBC**.

D. A macro initiates the MS-Access queries that summarize the data. The macro is entitled ">001 – Download Mainframe Data".

That macro initiates the following "make-table" queries in sequential order:

1. >001 – Create CURRENT BB POPS DATA-MONTHLY Table
2. >002 – Create CURRENT BB CASE DATA – MONTHLY Table
3. >003 – Create CURRENT BB CLAIMS DATA-MONTHLY Table
4. >004 – Create CURRENT BB SCRIPT DATA-MONTHLY –Table
5. >005 – Create CURRENT BB ENCOUNTER DATA-MONTHLY Table
6. >006 – Create CURRENT MC FINANCIALS DOWNLOAD Table
7. >007 – Create Current BB Pops Data Age< 2 – Monthly Table
8. >008 – Create Current BB AMBPROC Data – Monthly Table
9. >009 – Create Current BB Pops Data – Quarterly Table
10. >010 Create BB Pops Special Data – Quarterly Table
11. >011 Create BB Pops Special Data – Monthly Table

E. The final two queries run in MS-Access produce **Financial**, ("001P-Financial Report Card") and **Utilization** ("002P-Quality/Utilization Report Card") displaying health plan performance by quarter. Each record in these summaries represents health plan performance for a quarter during the 30-month period. Because the reports are run on a calendar quarter basis, the queries produce 8 records per health plan.

To calculate the time window to display in the Plan Profile Reports:

1. Obtain beginning and ending dates of the newly updated database (displayed in DataScan).
2. Back up six months from the end date (to allow six months claim lag time).
3. Based on this twenty-four month window, determine the beginning and ending dates—these are the dates to be used when running the "001P-Financial Report Card" and "002P-Quality/Utilization Report Card" queries.

1.8.2.4 Step Four: Microsoft Excel

In Step Two a new subdirectory was created for the current data extract. To prepare for the MS-Excel stage of the process, copy the empty templates of the spreadsheets and worksheets that will display the data in tabular and graphical mode into the current working subdirectory. The Excel templates are found in the following subdirectory:

W:\CA_MED\Analysis\Briefing Book\

The Plan Profiles summarize and compare health plan performance by plan against others of the same plan model type and by plan model type compared to Fee-For-Service. The spreadsheets that need to be copied from this subdirectory into the current working subdirectory are:

- **pp-COMP-** side-by-side comparisons of totals and averages for the four plan model types and Fee-For-Service.
- **ppCOHS**- side by side comparisons of plans in the County Organized Health System model
- **ppCP**- side by side comparisons of plans in the Commercial Plan model
- **ppGMC**- side by side comparisons of plans in the Geographical Managed Care model
- **ppLI**- side by side comparisons of plans in the Local Initiative model.

After the templates have been copied into the current working directory, a new spreadsheet called **pp#s** is created. The results of the **Financial** and **Utilization** summary queries are inserted into this spreadsheet with Financial and Utilization results in separate worksheets.

From **pp#s** spreadsheet the eight rows containing the results for each health plan are copied and pasted into the appropriate spreadsheet listed above. Each health plan's data is copied twice, first for the financial information and next for the utilization information.

The **ppComp** spreadsheet contains links to the summary line for each of the Benchmark worksheets in each of the plan model type spreadsheets. The only results that need to be copied and pasted into this spreadsheet are those for the Fee-For-Service model. The **ppComp** spreadsheet compares the averages for the three plan model types against each other and Fee-For-Service.

1.8.2.5 Step Five: Verifying Accuracy of Plan Profiles created

There are two MyEureka! queries that need to be run, to double check the Plan Profile numbers. The first query (BB9007.iqr) is based on the Population Table and is a count of eligibles in each plan—a verification of the enrollment figures displayed in the Quality/Utilization spreadsheets. The second query (BB9008.iqr) is based on the Managed Care Financial Table and is a verification of each plan's financial data for the most recent quarter. This query must be modified so that the filter criteria matches the beginning and ending dates of the most recent quarter of data displayed in the Plan Profile Reports.

After validating the current version of the Plan Profiles, the final validation step is to compare the figures from this new version to the last version of the reports. This step ensures the reports are reasonable both within each report and the trends displayed are reasonable over time. There should be no more than 10% difference between the reports.

1.8.2.6 Step Six: Converting Excel Spreadsheets to PDF Files

Each of the Excel reports needs to be converted to a ".pdf" file so its static image can be posted to the web server of the Briefing Book. To convert the Excel file to a .pdf file, open the Excel report and click Print. Rather than printing the report on paper to the printer, change the printer to "Adobe PDFWriter." The next prompt will ask where to save the file. The directory and naming convention of the .pdf files should follow the Briefing Book File Map (pagemap.doc) naming convention.

1.8.2.7 Step Seven: Updating the HTML Plan Profile Index page

The last step of the update before publishing the reports, is to update the PlanProfiles.html page with the "Date Last Updated" being the current date of this update. These html files can be found on the MEDSTAT LAN in the following directory: W:\Ca_Med\Analysis\Briefing Book\Base

XXXX, where XXXX represents the database update. For example, the Base 0010 folder contains files for the October 2000 database update.

1.8.2.8 Step Eight: Posting the PDF Files to the Briefing Book Web Server

Using PCAnywhere, upload each of the PDF files to the Panorama Briefing Book server.

1.8.3 Recipient and Provider Profile Reports

1.8.4 Recipient and Provider Profile Reports Procedure Steps

1.8.4.1 Step One: DataScan

The first step of updating the reports is to review the pre-written DataScan Subsets and Custom Reports stored in the (hmtrn0) library, the naming convention of each report follows the pagemap.doc document listed in the Reference Materials section of this process. The only criteria that should need to be modified is the date range of the service date (SVCDT) field. To calculate the date range, allow a six month lag from the end of the database (this will become the end date of the date range) and then back up one year from the end date to determine the begin date of the service date window. These are the dates that need to be entered in the SVCDT field of the Subset. After updating this field in each Subset, Prepare and save the Subset with the same name (overwrite the previous Subset definition).

Once the Subsets and Custom Reports have all been updated with the current date range, the scripts can be run. The naming convention for each Subset and Custom Report can be found in the Analytic Spotlight Templates.xls file. Once the scripts have completed, each completed Custom Report needs to be saved as a ".csv" file so it can be opened in Excel.

1.8.4.2 Step Two: Microsoft Excel

Open the ".csv" file in Excel and delete the DataScan title and Subset rules. Each report then needs to be sorted three ways: (1) by frequency (# of services, scripts, admissions, etc.), (2) by Net Payment ($), and (3) by most expensive (cost/recipient, cost/admission, etc.)—except the managed care reports, which do not have this third sort.

Once the sorting has been completed, a "roll up" needs to be done so that only the top 50 episodes, admits, recipients, etc. are displayed on the report, and then the rows from 50 to the end of the report are then summarized into a row titled "All Others," unless otherwise done in the Custom Report. The final row of the report is a Total of all 50 rows and the "all others" row.

The title of the report needs to be modified so it reflects the current service date window of the report. Formatting of the report is the last step in this part of the process.

1.8.4.3 Step Three: Adobe Acrobat

Each of the Excel reports needs to be converted to a ".pdf" file so its static image can be posted to the web server of the Briefing Book. To convert the Excel file to a .pdf file, open the Excel report and click Print. Rather than printing the report on paper to the printer, change the printer to "Adobe PDFWriter." The next prompt will ask where to save the file. The directory and naming convention of the .pdf files should follow the Briefing Book File Map (pagemap.doc) naming convention.

1.8.4.4 Updating the HTML Recipient/Provider Profile Report Index Page

The last step of the update before publishing the reports, is to update the RecipientProfiles.html/ProviderProfiles.html page with the "Date Last Updated" being the current date of this update. These html files can be found on the MEDSTAT LAN in the following directory: W:\Ca_Med\Analysis\Briefing Book\Base XXXX, where XXXX represents the database update. For example, the Base 0010 folder contains files for the October 2000 database update.

1.8.4.5 Step Four: PCAnywhere

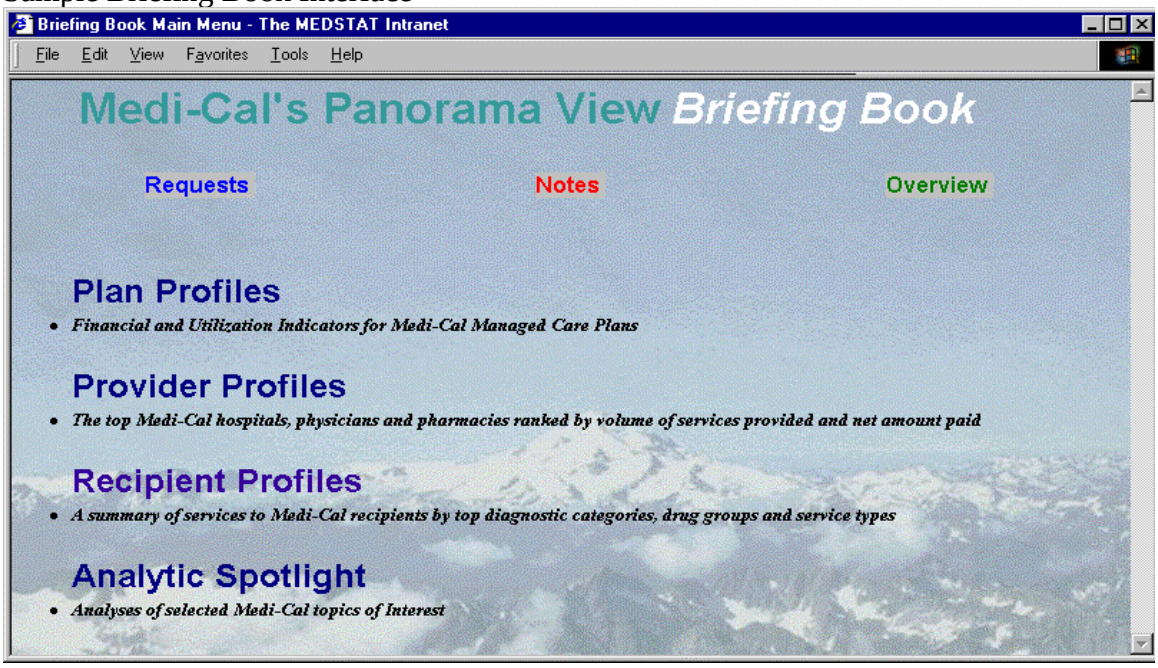
Use PCAnywhere to post the .pdf files to the Panorama server. Update the appropriate HTML page(s) to reflect the date of the update.

1.9 Exit Criteria

This process is exited when reports have been reviewed and posted to the server.

1.10 Forms and Subject Examples

Sample Briefing Book Interface



1.11 Reference Material

The Functional Specification for Panorama View Briefing Book Phase 5, and the Administrator's Guide to Panorama View are the two reference materials used to create this process. The Briefing Book File Map (pagemap.doc) is also a reference material used to ensure the accuracy of the html links to the Briefing Book Reports.

1.12 History

Established/Revision Date	Established/Revised By	Change Description
5/2/2000	Tracy Meeker	Policy/Process Established
1/30/2001	Tracy Meeker	Updated HTML posting and validation procedures.
3/9/2001	Robert Joy	Reviewed for errors / omissions
6/20/2001	Todd Jackman	Updated Table of Contents to be consistent with process template.

Table of Contents

1 Validation Testing Process – Database Builds

1.1 Overview

Validation testing occurs with every database build and update as part of MEDSTAT's database test efforts. This document details the validation testing process applied to a database build. Validation testing for updates is covered under a separate process policy description, Validation Testing Process – Database Updates. Validation tests are a subset of the full system test plan executed with each database build. Many Validation Points have been incorporated throughout the Build Process Flow to ensure consistency and integrity during the build process. The tests associated with these Validation Points should be performed as soon as possible, in order to identify, correct, and prevent any problems quickly. Validation tests are performed on Panorama View, Briefing Book, and all DataScan tables, including Capitation, Case, Claims, DHS Core, Drug, Dental, Non-Dental OP, Eligibility, Episodes, Managed Care, Populations, and Provider. An example of the Validation Test Plan is located in Appendix 1.7.1. Execution of the build validation tests produces an Accounting of Records, which verifies the DataScan table counts. Data Quality Indicators Reports are also produced to enable trending analysis. For more information on the build process, see the Database Build and Update Process. The Data Manager responsible for validation attends daily Operations Checkpoint Meetings in order to follow the build process and know when Validation Points are reached. The Data Manager maintains a spreadsheet, which lists each Validation Point and the Validation Test to be performed. The Validation Tests are maintained in an Access Database and consist mainly of Load Balancing and Data Integration type tests. The Data Manager documents the test results and reports the results to Operations.

1.2 Purpose

The purpose of this document is to provide a standardized means to prepare, perform, and document the validation process for a database build.

1.3 Scope

This document applies to the validation of a database build performed by the Data Management team only.

1.4 Responsibility and Enforcement

The Data Management team is responsible for the preparation, execution, and documentation of the validation process.

1.5 General Considerations

The Validation Testing Process – Database Builds will be followed for each database build for which system testing will be performed. Database builds performed in the development environment for purposes of unit and integration testing will not be required to follow this process. MEDSTAT has implemented an internal policy to validate each database build as described in the procedures below.

1.6 Skill Requirements

The skills required to perform the Build Validation Process are:

- Knowledge of Windows File Management techniques
- Basic knowledge of Excel spreadsheets
- Basic knowledge of TSO
- Basic knowledge of Panorama View
- Basic knowledge of DataScan
- Familiarity with the IR Log
- Ability to use MS Access Forms

1.7 Entry Criteria

The project's Integrated Project Plan (IPP) contains a task for each x.1, x.2, and x.3 database build (including time frames). The IPP identifies the start date for each database build, which initiates the Database Build Process, which in turn initiates the Validation Testing Process – Database Builds. As a general guideline, the detailed planning for an upcoming build commences at least four weeks before the scheduled start of the build.

If a post-Phase 5 build becomes necessary, the standard validation tests will be reviewed for completeness and executed during the build process.

1.8 Procedure Steps

The major activities of the process include:

- Preparation for Validation
- Operations Check Point Meetings

These steps are described in detail in the subsections below.

1.8.1 Prepare for Validation

The following must be prepared before validation can begin.

1.8.1.1 Copy Access Test Plan

The Build Validation Test Plan is maintained in an Access database on the LAN. Components of this test plan include Test Setup, Expected Results and Actual Results. The Test Plan for each database build is maintained in a separate directory for that build. This Test Plan must be copied from the previous build directory on the LAN to the new build directory on the LAN. Following is an example of how to copy the Test Plan for build 4.1 to 4.2:

- Open Windows Explorer
- Find the previous build directory under Ca_med\Datamgmt\Phase 4\Tb 4.1\System Testing\Build Validation Test Plan 4_1.mdb

- Right click on the above Test Plan, drag and drop (copy) into the new build directory Ca_med\Datamgt\Phase 4\Tb 4.2\System Testing
- Click on the new Test Plan and rename it to Build Validation Test Plan 4_2
- Open the new Test Plan in Access
- Click on the Macro tab and run the macro, entering the new database number (4.2) when prompted. This clears out some of the fields on the form and corrects all references to the database number
- The new Test Plan is ready to use

1.8.1.2 Copy Accounting of Records

Validation testing produces an Accounting of Records Report for the Claims/Drug, Capitation, Managed Care Plan Financials, Provider, Eligibility and Dental/Non-Dental OP tables. The Accounting of Records lists all input files (transmittal files received from the State). Any excluded data is subtracted and an expected count of converted records is determined. A query counting the actual records on the table confirms this converted record total is correct. The State receives a copy of the Accounting of Records for each database build. An example of the Accounting of Records is located in Appendix 1.7.3.

The Accounting of Records is an Excel spreadsheet maintained on the LAN in separate directories for each build. This spreadsheet must be copied from the previous build directory to the new build directory. Following is an example of how to copy the spreadsheet for build 4.1 to 4.2:

- Open Windows Explorer
- Find the previous build directory under Ca_med\Datamgmt\Phase 4\Tb 4.1\Balancing and Trending\Acctng_4_1.xls
- Right click on the above spreadsheet, drag and drop (copy) into the new build directory Ca_med\Datamgmt\Phase 4\Tb 4.2\Balancing and Trending
- Click on the new spreadsheet and rename it to Acctng_4_2
- Open the spreadsheet in Excel
- Change the database number to 4.2
- Change the dates to the correct range for the database
- The new Accounting of Records spreadsheet is ready to use

1.8.1.3 Copy Data Quality Indicators Report

The Data Quality Indicators Report provides information from each database build for trending purposes. Any significant variance in percentages from one build to another can be discovered by these indicators and investigated. The information entered into this spreadsheet comes from various sources, including SPUFI queries, Panorama View and build reports. The State receives a copy of this report for each database build. An example of the Data Quality Indicators Report is located in Appendix 1.7.4.

The Data Quality Indicators Report is an Excel spreadsheet maintained on the LAN in separate directories for each build. This spreadsheet must be copied from the previous build directory to the new build directory. Following is an example of how to copy the spreadsheet for build 4.1 to 4.2:

- Open Windows Explorer
- Find the previous build directory under Ca_med\Datamgmt\Phase 4\Tb 4.1\Balancing and Trending\Data Quality Report_4_1.xls
- Right click on the above spreadsheet, drag and drop (copy) into the new build directory Ca_med\Datamgmt\Phase 4\Tb 4.2\Balancing and Trending
- Click on the new spreadsheet and rename it to Data Quality Report_4_2
- Open the spreadsheet in Excel
- Click on all worksheet tabs and insert a column for 4.2
- The Data Quality Indicators spreadsheet is ready to use

1.8.1.4 Copy SPUFI Queries

SPUFI queries are used to gather information from the DataScan Tables on the mainframe in order to facilitate validation testing. All SPUFI queries needed for validation must be copied from the previous build mainframe directory to the new build mainframe directory. The queries required are listed in each test case. The queries required for the Data Quality Indicators Report are not listed in a test plan, but can be identified as members beginning with DQ. Following is an example of how to copy the SPUFI queries for build 4.1 to 4.2:

- Select option 3 (Utilities) from the Primary Option Menu on the mainframe
- Select option 3 (Move/Copy) from the Utility Selection Menu
- On the Move/Copy Utility Menu, enter a 'C' (Copy), tab down to dataset name and enter the FROM dataset – 'HM.TMED.P41.V4R01.SPUFI.IN'. Press Enter
- Tab down to dataset name and enter the TO dataset – 'HM.TMED.P42.V4R01.SPUFI.IN'. Press Enter
- The list of all members in the FROM dataset will be displayed. Place an 'S' by each member to be copied and press Enter

The executable JCL used to run the queries in batch and print the results must also be copied. Follow the same instructions above, except the FROM dataset name will be 'HM.TMED.P41.V4R01.SPUFI.JCL' and the TO dataset name will be 'HM.TMED.P42.V4R01.SPUFI.JCL'.

Once the queries and JCL are copied to the new mainframe directory, each must be changed to point to the correct database. In the query, the view must be changed to access the correct database. For example, the view to access the Case table in the 3.3 database would be HDHMDM.V_PDTNEW_CASE. The 'PD' stands for Production and the 'T' stands for the Database Environment Plan Code (or T_PROD). The view to

access the Case table in the 4.3 database would be HDHMDM.V_PDSNEW_CASE. The only difference is the 'PDT' changes to 'PDS' for S_PROD.

The JCL must also be changed to point to the correct database. There is a line in the JCL that indicates the query to run and the environment where it is located. An example of this would be //JS3001 EXEC PROC-SPUFI, VERSION='V4R01', PHASE='P43', SSID='HMPD', QUERY='CASE1001'. The version is the DataScan version, which would rarely need to be changed. The phase indicates the database. This would need to be changed each time a new database is tested. The SSID would be HMPD for a production environment and HMTD for a test environment. Query is the name of the query and should not need to be changed.

1.8.2 Attend Operations Checkpoint Meetings

The Data Manager responsible for the build validation attends daily Operations Checkpoint Meetings to stay informed of the build status and to know when Validation Points are reached.

1.8.3 Complete Validation Point Checklist

The Data Manager maintains a spreadsheet, which lists each Validation Point and the Validation Test to be performed. When a Validation Point is reached, the Data Manager refers to this Validation Point Checklist and performs the appropriate Validation Test. An example of this spreadsheet is in Appendix 1.7.1.

1.8.4 Perform Validation Tests

When a Validation Point is reached in the database build, the corresponding test case in the Build Validation Test Plan is performed. The tests mainly consist of Load Balancing and Data Integration type tests, but may also include other types as deemed appropriate. Validation tests also include review of the Failed Operation Log (FOLOG) and Unexpected Values Reports, which are produced during the build process. The FOLOG reports are produced for each subsystem and list possible errors for incoming data fields. The Unexpected Values Reports are produced for Claims, Drug, Eligibility, and Provider and report any invalid values for incoming data fields. The tests use Mainframe SPUFI queries, Excel spreadsheets, output files on the Mainframe, and various Build Reports, especially the Aggregate Statistics Reports. Detailed test setup and required reports are documented in the test case. An example of the Test Plan is in Appendix 1.7.2.

1.8.5 Documentation

- The Data Manager documents the test results in the Access Test Plan, prints the test cases and places a copy in the test folder for reference.
- The Accounting of Records Reports are produced during validation testing. A copy is given to the State and a copy is kept in the MEDSTAT files.
- The Data Quality Indicators Report is completed during the validation process. A copy is given to the State and a copy is kept in the MEDSTAT files.

- Unexpected Values Reports for Claims, Drug, Eligibility, and Provider are produced during the build process and are reviewed by the Data Manager during the validation process. A copy of these reports is given to the State for review.

1.8.6 Report Results to Operations

The Data Manager reports results for each validation test to Operations. If the Validation Point passes, Operations marks it as complete on the Build Project Plan. If the Validation Point fails, Operations and Data Management work together to determine the problem and resolution. An Investigative Request (IR) should be opened if the failure results in programming changes.

1.9 Exit Criteria

The validation process is complete when the databases have been built, the associated validation tests have been completed, and the reports have been delivered to the State.

1.10 Reference Material

- Data Management Guide
  - Data Quality Indicators
  - FOLOG
- IR Tool (MS Access)

1.11 Policy History

Established/Revision Date	Established/Revised By	Change Description
3/10/00	Tina Poyner	Process Established
3/8/01	Carrie Swanson	Updated with references to the Dental and Non-Dental OP tables

1.12 Appendices

1.12.1 Validation Point Checklist

1.12.2 Build Validation Test Plan

1.12.3 Accounting of Records

1.12.4 Data Quality Indicators Report

Table of Contents

1 Update Process Validation

1.1 Overview

Validation testing occurs with every database build and update as part of MEDSTAT's database test efforts. This document details the validation testing process applied to a database update. Validation testing for builds is covered under a separate process policy description, Validation Testing Process – Database Builds. Many Validation Points have been incorporated throughout the Update Process Flow to ensure consistency and integrity during the update process. The tests associated with these Validation Points should be performed as soon as possible, in order to identify, correct, and prevent any problems quickly. Validation tests are performed on Panorama View, Briefing Book, and all DataScan tables, including Capitation, Case, Claims, DHS Core, Drug, Eligibility, Episodes, Managed Care, Populations, Provider, Dental, and Non-Dental Outpatient. The test plan is maintained in an Access database. The Update Validation Test Plan is similar to the Build Validation Test Plan. These tests consist mainly of Load Balancing and Data Integration type tests. An example of this Update Validation Test Plan is located in Appendix 1.13.2. Execution of the update validation tests produces an Accounting of Records, which verifies the DataScan table counts. Data Quality Indicators Reports are also produced to enable trending analysis. For more information on the update process, see the Database Build and Update Process. The Data Manager responsible for validation attends daily Operations Checkpoint Meetings in order to follow the update process and know when Validation Points are reached. The Data Manager maintains a spreadsheet, which lists each Validation Point and the Validation Test to be performed. Validation queries are automatically run at each applicable validation point. The Data Manager documents the test results and reports the results to Operations. IRs included in the update are reviewed and tested and the results are documented in the IR.

1.2 Purpose

The purpose of this document is to provide a standardized means to prepare, perform, and document the validation process for a database update.

1.3 Scope

This document applies to the validation of a database update performed by the Data Management team only.

1.4 Responsibility and Enforcement

The Data Management team is responsible for the preparation, execution, and documentation of the validation process.

1.5 General Considerations

The Validation Testing Process – Database Updates will be followed for each database update. Database updates performed in the development environment for purposes of unit and integration testing will not be required to follow this process. MEDSTAT has

implemented an internal policy to validate each database update as described in the procedures below.

1.6 Skill Requirements

The skills required to perform the Update Validation Process are:

- Knowledge of Windows File Management techniques
- Basic knowledge of Excel spreadsheets
- Basic knowledge of Panorama View
- Basic knowledge of DataScan
- Familiarity with the IR Log
- Ability to use MS Access Forms

1.7 Entry Criteria

The project's Integrated Project Plan (IPP) contains a task for each database build and for each update (including time frames). The IPP identifies the start date for each database update, which initiates the Database Update Process, which in turn initiates the Update Validation Process. As a general guideline, the detailed planning for an upcoming update commences at least four weeks before the scheduled start of the update.

1.8 Procedure Steps

The major activities of the process include:

- Preparation for Validation
- Operations Check Point Meetings

These steps are described in detail in the subsections below.

1.8.1 Prepare for Validation

The following must be prepared before validation can begin.

1.8.1.1 Copy Access Test Plans

The test plan used in a database update is maintained in an Access database on the LAN. Components of this test plan include Test Setup, Expected Results and Actual Results. The test plan for each database update is maintained in a separate directory for that update. The test plan must be copied from the previous update directory on the LAN to the new update directory on the LAN. Following is an example of how to copy the test plan for update 4.3.1 to 4.3.2:

- Open Windows Explorer

- Find the previous build directory under Ca_med\Datamgmt\Phase 4\Tb 4.3.1\System Testing\Update Validation Test Plan 4_3_1.mdb
- Right click on the above Test Plan, drag and drop (copy) into the new update directory Ca_med\Datamgt\Phase 4\Tb 4.3.2\Balancing and Trending
- Click on the new Test Plan and rename it to Update Validation Test Plan 4_3_2
- Open the new Test Plan in Access
- Click on the Macro tab and run the macro, entering the new database number (4.3.2) when prompted. This clears out some of the fields on the form and corrects all references to the database number
- The new Test Plan is ready to use

1.8.1.2 Copy Accounting of Records

Validation testing produces an Accounting of Records Report for the Claims/Drug, Capitation, Managed Care Plan Financials, Provider, Dental, Non-Dental Outpatient and Eligibility tables. The Accounting of Records lists all input files (transmittal files received from the State). Any excluded data is subtracted and an expected count of converted records is determined. A query counting the actual number of new records on the table confirms this converted record total is correct. The State receives a copy of the Accounting of Records for each database update. An example of the Accounting of Records is located in Appendix 1.13.3.

The Accounting of Records is an Excel spreadsheet maintained on the LAN in separate directories for each update. This spreadsheet must be copied from the previous update directory to the new update directory. Following is an example of how to copy the spreadsheet for update 4.3.1 to 4.3.2:

- Open Windows Explorer
- Find the previous update directory under Ca_med\Datamgmt\Phase 4\Tb 4.3.1\Balancing and Trending\Acctng_4_3_1.xls
- Right click on the above spreadsheet, drag and drop (copy) into the new udpate directory Ca_med\Datamgmt\Phase 4\Tb 4.3.2\Balancing and Trending
- Click on the new spreadsheet and rename it to Acctng_4_3_2
- Open the spreadsheet in Excel
- Change the database number to 4.3.2
- Change the dates to the correct range for the database
- The new Accounting of Records spreadsheet is ready to use

1.8.1.3 Copy Data Quality Indicators Report

The Data Quality Indicators Report provides information from each database update for trending purposes. Any significant variance in percentages from one update to another can be discovered by these indicators and investigated. The information entered into this spreadsheet comes from various sources, including SPUFI queries, Panorama View and build reports. The State receives a copy of this report for each database update. An example of the Data Quality Indicators Report is located in Appendix 1.13.4.

The Data Quality Indicators Report is an Excel spreadsheet maintained on the LAN in separate directories for each update. This spreadsheet must be copied from the previous update directory to the new update directory. Following is an example of how to copy the spreadsheet for build 4.3.1 to 4.3.2:

- Open Windows Explorer
- Find the previous update directory under Ca_med\Datamgmt\Phase 4\Tb 4.3.1\Balancing and Trending\Data Quality Report_4_3_1.xls
- Right click on the above spreadsheet, drag and drop (copy) into the new update directory Ca_med\Datamgmt\Phase 4\Tb 4.3.2\Balancing and Trending
- Click on the new spreadsheet and rename it to Data Quality Report_4_3_2
- Open the spreadsheet in Excel
- Click on all worksheet tabs and insert a column for 4.3.2
- The Data Quality Indicators spreadsheet is ready to use

1.8.1.4 Update Mainframe Symbolics

Some of the automated validation queries use dates in the select criteria. Rather than updating the dates manually in each query every month, these dates are stored in one place on the mainframe and symbolics are in the queries that refer to this place and the queries retrieve the dates from there. The validation queries from the previous update must be finished running before the symbolics are changed for the next update. To update the symbolics, follow these steps:

- On the mainframe, from the ISPF Primary Option Menu, enter 3.4
- For Dsname Level, type in HM.TMED.ESP.DM
- Enter an ‘E’ to Edit by HM.TMED.ESP.DM.SYMBOLIC
- Enter an ‘E’ to Edit by UPDT4
- Change the symbolics as follows (examples are for a database window of April 1, 1998 through September 20, 2000):

    - PH – Enter the phase number for the update (all of the updates on the Phase 5 database are P53)
    - SDATE – (PD_DATE) – New first day of database. Example: 1998-04-01

- NDATE – (TAPE_DATE) – New first day of last month of database. Example: 2000-09-01.
- YDATE – Quarter ending for update process. New first month of database. Example: 1998004
- ZDATE – Quarter ending for update process. New first year of database and '00' for the month. Example: 199800
- LDATE – New last day of the database. Example: 2000-09-30

1.8.2 Attend Operations Checkpoint Meetings

The Data Manager responsible for the update validation attends daily Operations Checkpoint Meetings to stay informed of the update status and to know when Validation Points are reached.

1.8.3 Complete Validation Point Checklist

The Data Manager maintains a spreadsheet, which lists each Validation Point and the Validation Test to be performed. When a Validation Point is reached, the Data Manager refers to this Validation Point Checklist and performs the appropriate Validation Test. An example of this spreadsheet is in Appendix 1.13.1.

1.8.4 Perform Validation Tests

When a Validation Point is reached in the database update, the corresponding test case in the Update Validation Test Plan is performed. These tests mainly consist of Load Balancing and Data Integration type tests, but may also include other types as deemed appropriate. Validation tests also include review of the Failed Operation Log (FOLOG) and Unexpected Values Reports, which are produced during the update process. The FOLOG reports are produced for each subsystem and list possible errors for incoming data fields. The Unexpected Values Reports are produced for Claims, Drug, Eligibility, and Provider and report any invalid values for incoming data fields.

The test plan uses Mainframe SPUFI queries, Excel spreadsheets, output files on the Mainframe, and various Build Reports, especially the Aggregate Statistics Reports. Detailed test setup and required reports are documented in each test case.

1.8.5 Documentation

- The Data Manager documents the test results in the Access Test Plan, prints the test cases and places a copy in the test folder for reference.
- The Accounting of Records Reports are produced during validation testing. A copy is given to the State and a copy is kept in the MEDSTAT files.
- The Data Quality Indicators Report is completed during the validation process. A copy is given to the State and a copy is kept in the MEDSTAT files.

- Unexpected Values Reports for Claims, Drug, Eligibility, and Provider are produced during the update process and are reviewed by the Data Manager during the validation process. A copy of these reports is given to the State for review.

1.8.6 Report Results to Operations

The Data Manager reports results for each validation test to Operations. If the Validation Point passes, Operations marks it as complete on the Update Project Plan. If the Validation Point fails, Operations and Data Management work together to determine the problem and resolution. An Investigative Request (IR) should be opened if the failure results in programming changes. The IR is then addressed with the State in the weekly Change Control meeting or via phone if immediate resolution is needed.

1.8.7 Special Considerations in a Two-Month Update

When processing two months of data, most of the input files are combined and validated the same way a one-month update would be, except the input files are listed separately on the Accounting of Records. There are two exceptions to this. The first is that the Eligibility convert is run twice, once for each file and each much be validated. The second exception is that a special validation query must be run for POPS validation, called UPDTPOP4. This is a query that provides a count for the extra month of certified eligibles in a two-month update. This count is added to the spreadsheet in validation test POPS1001. For an example of this and other two-month validation tests, see the folders for the 0006 update.

1.9 Exit Criteria

The validation process is complete when the databases have been updated, the associated validation tests have been completed, and the reports have been delivered to the State.

1.10 Forms and Subject Examples

NA

1.11 Reference Material

- Data Management Guide
  - Data Quality Indicators
  - FOLOG
- IR Tool (MS Access)

1.12 History

Established/Revision Date	Established/Revised By	Change Description
3/13/00	Tina Poyner	Process Established
12/6/00	Tina Poyner	Added section to update symbolics. Added Dental & Non-Dental Outpatient Tables. Added section for two-month update.
6/20/2001	Todd Jackman	Modified Table of Contents to reflect the process template. Included the Apendices.
9/12/01	Carrie Swanson	Clarified Entry Criteria.

1.13 Appendix

1.13.1 Validation Point Checklist

1.13.2 Update Validation Test Plan

1.13.3 Accounting of Records

1.13.4 Data Quality Indicators Report

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1. Database Reorganizations

1.1 Overview

The DSS database is updated each month with a new month of data. In addition, the oldest month of the thirty-month database is "rolled-off" (deleted). This ongoing process causes the database to become fragmented and scattered from the original physical organization caused when the build process loads the data in clustering index order. The result of this fragmentation is twofold:

1. Index sizes grow and maintenance increases resulting in a diminishing data retrieval speed.
2. Areas for new data insertion (a.k.a. control intervals) decrease and eventually result in the inability to complete the insertion of all new records into a given table cluster area during a monthly update if more data inserts occur than deletions for a given cluster (permutation of primary keys).

1.2 Purpose

To deal with the issue of database fragmentation, MEDSTAT performs periodic maintenance of the database structure by monitoring the clustering ratio. For the purpose of this process, tables with a clustering value of 95% or above will be considered optimally organized and will not require a reorganization effort. In situations where the value drops below 95%, a reorganization should be performed. The reorganization process temporarily moves data around within the database until it compacts that data back together as close as possible in the clustering arrangement and thereby creates "free space" that is available for future record insertions. The reorganization jobs for all affected tables will be available for execution via the ESP scheduling tool used on the project.

Reorganizations can be completed in one of two ways:

1. Execute a "background reorganization" that allows continued user access to the database. This process creates a mirror area for storage of an organized version of the table involved in the process. This lessens the impact (degradation of query access speed) for users, except for a small period of time at the end of the process, when pointers for the database are reset to the reorganized area. The lone impact of this process to the end-user is when the database pointers are reset to the new mirrored area at the end of the reorganization. All secondary indexes are updated real-time as the reorganization process executes to reflect the movement of data in the tables.

2. Drop all indices on the existing database table, execute the reorganization process quickly to a mirrored area, reset the database pointers to the new area, and rebuild all secondary

indexes. While it is possible that users might access data during this period, MEDSTAT has found that this scenario results in a slower query response times for users accessing columns of data that are not in the clustering index of the target table (i.e., normally accessed via a secondary index or tablespace scan).

1.3 Scope

The production DataScan database.

1.4 Responsibility and Enforcement

The project Database Administrator is responsible for ensuring that the database is reorganized as needed.

1.5 General Considerations

The fragmentation level of the database should be monitored after each monthly update.

1.6 Skill Requirements

A technical resource familiar with DB2 utilities.

1.7 Entry Criteria

A monthly update has been completed, runstats have been executed and reviewed and the clustering index organization value becomes below the 95% threshold.

1.8 Process

The Medi-Cal tables impacted by a reorganization process include:

- OP Claim
- IP Claim
- IP Paid
- Drug
- Case
- Episodes

MEDSTAT employs both types of reorganizations listed above. Every effort is made to have the least amount of impact to the end user by either performing background type reorgs or by scheduling the foreground types of reorgs around long weekends, etc. By executing both types of processes, MEDSTAT has learned that background reorganizations fail to rearrange the indices that are associated with a given table. If allowed to progress and disorganize too far, a table can have unpredictable results occur during tasks like row inserts. Therefore MEDSTAT utilizes background reorgs for a series of months, monitors index organization, and eventually

looks for an opportunity to perform a foreground type reorganization on the largest tables (e.g., Outpatient, Drug).

Sufficient free space was allocated in anticipation for the "two-month" updates performed at the beginning of the phase 5 updates that MEDSTAT believes there will not be a need to perform complete reorganization processes each month. MEDSTAT will continue to monitor the clustering ratios that are generated during the runstats process that reports on the organization of the database at the completion of each update. In the event that too much disorganization of the data or index is observed on the larger tables, fast foreground reorganizations will be recommended. Otherwise, smaller tables (e.g., Case, IP, Episodes) will be monitored and reorganized via the slower method approximately every other month as the statistics indicate a need.

The actual action steps taken by DBA staff to execute this process are:

1. The tablespace is considered "clustered" if it's cluster ratio is 95% or above. An individual partition could be below 95%, but the tablespace can still be considered "clustered". Therefore, in order to identify if the respective clustering ratio falls below the 95% optimum value, execute a runstats job to provide information about the index and tablespace without updating the DB2 catalog. (note: This job can be found in HM.PMED.PROD.UTILJCL (JRNSTATS). The control card can be set to include all of the targeted tables' indices in one job, namely primary and secondary.

2. Upon determining which tablespace falls below the optimum, the next step is to reorganize those individual partitions to bring the cluster ratio up to optimum. The jobs can be found in HM.PMED.PROD. UTILJCL(REORG*). MEDSTAT will reorg all partitions if the number of individual disorganized partitions is greater than 80% of the total partitions on the affected table.

3. The final step is to run another runstats job which targets the partitions previously reorganized. This is to prove that the reorganization has taken place correctly.

1.9 Exit Criteria

The databases are no longer fragmented.

1.10 Forms and Subject Examples

NA

1.11 Reference Material

NA

1.12 History

Established/Revision Date	Established/Revised By	Change Description
5/8/00	John Mulcahy	Policy/Process Established
6/19/2000	John Mulcahy	Updated document to reflect discussions in 6/15/2000 Change Control meeting regarding alternatives and approach.
2/20/01	John Mulcahy	Removed alternative and approach sections proposed for P5, added information about the current process used by Ops to maintain table organization.
6/20/01	Gail Holliday	Added procedure section to describe actual steps required to execute a reorg.

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1. Production of Operations Dashboards

1.1 Overview

Medstat now creates a monthly service plan that incorporates most of what was in the Dashboard. The service plan contains fewer operations metrics in exchange for user and analytic reporting. The effort to create the service plan is equivalent to that required for the Dashboard.

The Operations Team routinely produces a set of reports addressing two major categories of operations:

- Resource Utilization (monthly views)
- Database Build or Update Performance (associated with each build or update)

These reports are produced for the purpose of providing a select variety of views that represent the condition or health of the production environment. Analyzing trends observed in these reports provides input to process improvement and possibly early warning to upcoming issues. The term 'dashboard' has been adopted on the project as a descriptor of these reports as they provide various indicators similar to the way a dashboard does in a car.

The dashboard reports are comprised of the following five sections and are described, in more detail, within this process:

1. Build/Update Time and Input Report
    - 1.1 Top Reason(s) for Non-Productive Time
    - 1.2 Elapsed Days by Product
    - 1.3 Data Input Volume by Feed
    - 1.4 DataScan Table Row Count Comparison
    - 1.5 DataScan Critical Path Analysis and CPU Consumption

2. DataScan Build Update Performance Statistics
    - 2.1 Executed Job Totals
    - 2.2 Failure Totals
    - 2.3 Category of Failure Counts
    - 2.4 Job Failure to Success Ratio

3. Response and System Availability Charts
    - 3.1 Query Response Rate
    - 3.2 Monthly DataScan Usage/Concurrent and Average
    - 3.3 S4 DASD Utilization
    - 3.4 S4 Tape Utilization

4. Application Availability, by Product

5. Resource Utilization (Monthly Reports)

1.2 Purpose

This document will be used by any project team member responsible for documenting a policy or process. This document will guide the author through the completion of the document.

1.3 Scope

There are a number of dashboard reports prepared monthly by the Operations Team. This process provides a description of each report and the steps require to produce each one.

1.4 Responsibility and Enforcement

The Operations Manager is responsible for ensuring the dashboard reports are produced on a monthly basis.

1.5 General Considerations

The monthly dashboard reports are produced by the second Friday of the month and are included in the monthly report to DHS produced by the Analytic Team. The build or update dashboard reports are produced for the second project status meeting of each month. Operations dashboard reports are best represented when printed in color.

1.6 Skill Requirements

Individuals tasked with preparing the Dashboard Reports must be familiar with Microsoft Excel spreadsheets and charting as well as Microsoft Access report generation. In addition, in order to assess the accuracy of reports, the preparer must be familiar with the tasks involved in MEDSTAT Update and Installs of the DataScan product.

1.7 Entry Criteria

This process is entered when a set of monthly dashboard reports needs to be created.

1.8 Procedure Steps

1.8.1 Build/Update Time and Input Report

1.8.1.1 Top Reason(s) for Non-Productive Time

This section provides an overall assessment of the largest issues encountered for the given build/update, the impact to schedule, and the steps taken to remedy the issue.

This table provides three columns of information:

1. Area of impact
2. Impact in time increment
3. Reason for failures

1.8.1.2 Data Input Volume By Feed and DataScan Table Row Count Comparison

This section of the report provides tables with rows for each of the DataScan tables used in a build/update along with the number of rows submitted, added and the resultant table size. A percentage increase is also provided in a side-by-side comparison to previous builds/updates for appreciation of changes in submission volume. Numbers for the Data Input volume by Feed are gathered from execution of the Data Receipt process for each raw data feed. Numbers for the DataScan Table Row Count Comparison are from DataScan after each build or update. Option #5, Security View Table Maintenance within DataScan System Table Maintenance panels, provides raw counts for each DB2 table.

1.8.1.3 DataScan Build/Update Critical Path Performance

Data is extracted from the ESP scheduling tool that provides information about the elapsed CPU and calendar time used for each job executed during a build/update. In addition, the jobs are categorized in areas of concentration (e.g., Eligibility, Claims, Episodes). This information is then entered into a spreadsheet in CA_MED\Operations\Phasex\UpdateX\DBXX10-14.xls. A separate row is available on the table for each of the major categories involved in a build/update.

Times are tracked for:

- Influence upon the critical path
- Percent of overall critical path
- Actual calendar days of execution
- CPU minutes required
- Percent of total CPU per category

The total critical path, elapsed days, CPU and available CPU days are indicated as a summary row as the last row in the table. This table is inserted into a MSWord document for the given month and stored in the same directory as previously indicated. This information is included in each month's dashboard report set.

1.8.2 DataScan Build/Update Performance Statistics

An Excel chart is stored in CA_MED\Operations\PhaseX\Dashboard Rpts.xls with a tab for each successive month to store data for the following four charts.

1.8.2.1 Failure Totals

This spreadsheet tracks the total number of failures encountered for each of the products (DataScan, Panorama View, Performance Measurement Workstation). The information is extracted from ESP for DataScan and from the Operations Issue Log for the PV and PMW products. This data is then presented side-by-side against previous builds/updates in a simple bar chart for comparison and assessment of improvement/regression of errors.

1.8.2.2 Category of Failure Counts

This spreadsheet categorizes each of the errors from section 1.8.2.1 into one of three categories:

1. JCL or script error
2. Operator cancel
3. System Resources

This data is also presented side-by-side against previous builds/updates in a simple bar chart for comparison and assessment of improvement/regression of errors.

1.8.2.3 Executed Job Totals (Productive vs. Non-Productive)

This spreadsheet tracks breaks down the total duration of a build/update into successful execution (i.e., productive), unsuccessful (i.e., abnormal termination due to cancellation or an error encountered), and idle time (i.e., no jobs executed). A chart is generated using a stacked bar between productive, non-productive, and idle time. This chart is also presented side-by-side against previous builds/updates for comparison purposes.

1.8.2.4 Job Failure to Success Comparison

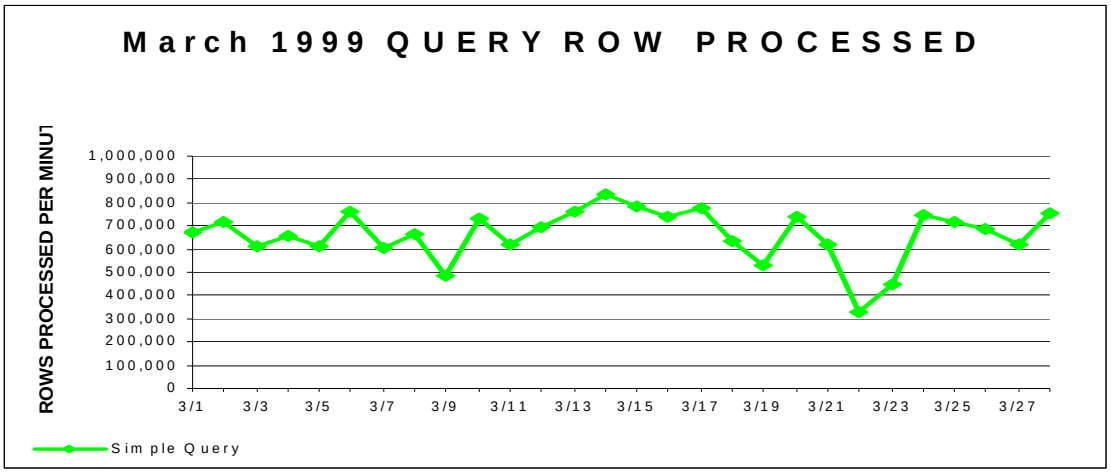
This spreadsheet tracks the total number of jobs executed for a DataScan Build/Update and divides them between successful execution (i.e., to end of job) versus abnormal termination due to cancellation or an error encountered. A chart is generated using a stacked bar between successful/unsuccessful and is presented side-by-side against previous builds/updates.

1.8.3 Response and System Availability Reporting

1.8.3.1 Query Response Rate--Process Steps

The MEDSTAT proposal for the Medi-Cal MIS/DSS project specified response rate ranges for processing simple and complex queries. The proposal on page 3E-46 states that *"a typical simple query with 1,000,000 rows qualified by a clustering index value in the WHERE predicate will be processed at 100,000 to 200,000 rows per minute…"*. It also states that *"a typical complex query with 1,000,000 rows qualified by a clustering index value in the WHERE predicate will be processed at 50,000 to 100,000 rows per minute…"*.

A group of six simple queries is executed at four different times each day. An average DB2 row return rate for all six queries over the four executions is computed. Each daily average is plotted on a monthly view. An example of the Query Response Rate reports is presented below:



Each job of six queries is executed at 10:00 (10:00AM), 15:00 (3:00PM), 20:00 (8:00PM) and 03:00 (3:00AM). Each query definition contains a where predicate which returns or processes approximately 151,000 rows of data. The exact number of rows will vary with each production database. As the databases become larger, the where predicate in these queries will be modified to return the approximately the same number of rows. The first four queries perform the scalier functions of SUM, MIN, MAX and AVG against the NET_PAY_AMT column of OUTPATIENT CLAIMS. The fifth does a count of records matching the where clause and the sixth selects nine columns of OUTPATIENT CLAIMS and writes the result to a SYSOUT queue. The queries are as follows:

1. **SELECT "SUM" (NET_PAY_AMT)** **SELECT SUM ALL NET PAY**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

2. **SELECT "MAX" (NET_PAY_AMT)** **SELECT MAXIMUM VALUE OF NET PAY**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

3. **SELECT "MIN" (NET_PAY_AMT)** **SELECT MINIMUM VALUE OF NET PAY**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

4. **SELECT "AVG" (NET_PAY_AMT)** **SELECT AVERAGE VALUE OF NET PAY**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

5. **SELECT "COUNT" (*)** **SELECT COUNT ALL ROWS**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

6. **SELECT "EMP ID"** **RECORD LISTING OF NINE VALUES (EMP_ID, APPL_IND, DX1_CD, PD_DATE, PROC1_CD, PROV_ID, SVC_DT, AID_CODE, NETWORK_ID**
   FROM HDHMSP.OP_CLAIM1
   WHERE COUNTY_CD = 34
   AND ELIG_CAT ='22'

The following steps contain the detailed information to maintain the data and chart for this dashboard report:

1. The name of the batch job that executes the queries is HMQTEST. The dataset where HMQTEST is located is HM.PMED.PRODJCL.
2. The job is submitted at 10:00am, 3:00pm, 8:00pm, and 3:00am. The job is scheduled in ESP.
3. At completion of the job, the output is printed to the production printer at the MEDSTAT Project Office.
4. The data is entered into a spreadsheet on a daily basis by a member of the Operations Team
5. The name of the spreadsheet that contains the data is QTME1999.xls. The location of the spreadsheet is "v:\ca_med\operations\reports\query".
6. The spreadsheet is broken up into months. Each month is represented in a worksheet within the document. The person entering the data will select the tab containing the current month's data. Once the appropriate tab has been selected, data is entered for the given day of the month.
7. The Monthly chart is embedded within the worksheet of each month. As the data is updated, the chart immediately reflects the new entries.

1.8.3.2 Monthly DataScan Usage/Concurrent and Average—Process Steps

This report portrays DataScan activity against the production database. There is a daily and a monthly view of this activity. The daily view presents in 15-minute increments (beginning at midnight) the number of DataScan users active during each 15-minute measurement. The monthly view presents for each day of the month, the average number of concurrent DataScan users and the peak number of DataScan users for the day. The DataScan application captures details about each DataScan transaction and inserts those details into a DataScan table called Track Info. This table is the source of data used to generate this dashboard report. The transactions included are:

- SA01

- SA02
- SP01
- SP02
- Sp03
- SP04
- SP05
- SP06
- SP07
- SP08
- SP09
- SP10
- SP12
- SP13
- SP14
- SP15
- SP16

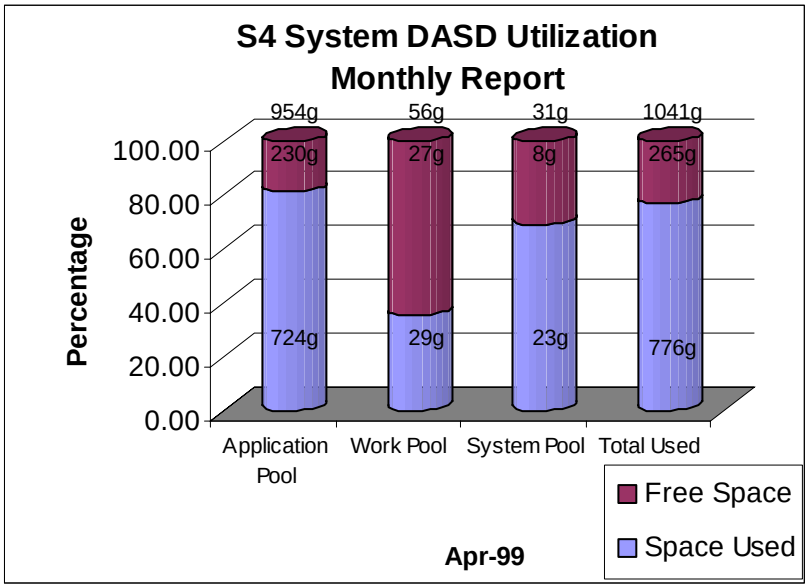
1.8.3.2.1 Steps to produce the report

1. During the first week of a new month, the COBOL job named HMUU0100 is executed by the Operations Team (this job will be placed in ESP and executed automatically)
2. Download the output dataset from the mainframe environment and import to an Excel spreadsheet.
3. Produce each daily and monthly chart using Excel.
4. Include the month view in the series of operations dashboard reports for the month.

1.8.3.3 S4 DASD Utilization—Process Steps

This process addresses the creation of DASD management reports for the IBM S4 mainframe system. The total DASD within the S4 environment is divided into three pools: 1) Application/DB2; 2) Work; and 3) System. Total Used is the sum of all three pools together.

A DASD report is generated on a monthly basis, providing a snapshot of the DASD space used versus free for each DASD pool. An example of this chart is presented below:



In addition to the percentage of space used and free space, the chart provides the number of DASD gigabytes associated with each.

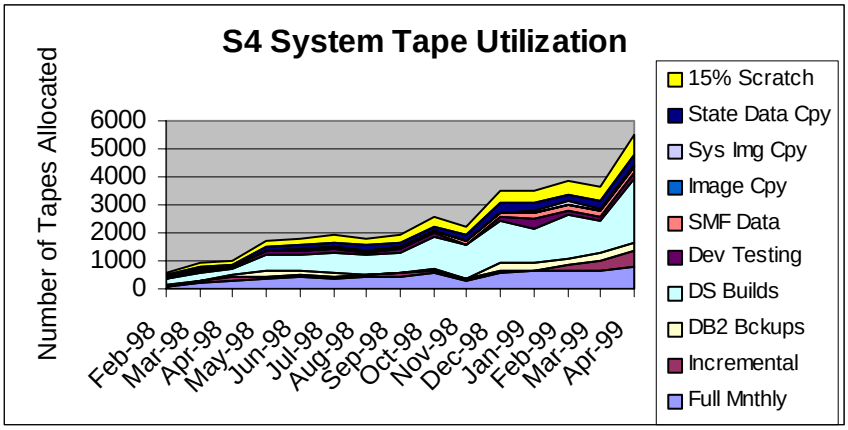
1.8.3.4 S4 Tape Utilization—Process Steps

This process is followed to produce a monthly view (snapshot view at month end) of the 3490e tape utilization in the S4 environment. A very important correlating document is the S4 and NT Server Backup strategy for the MIS/DSS project.

As shown in the chart below, tape utilization is categorized and reported in 10 groupings:

1) Scratch: tapes available for usage. Ideally, the scratch pool is 15% of the total number of tapes in the library.
2) State Data Copy: tapes housing source data received from ITSD.
3) System Image Copy: tapes containing system software
4) Image Copy: tapes containing copies of database tables
5) SMF Data: tapes containing log records produced by DB2, CICS and MVS
6) Development Testing: tapes containing data, applications, miscellaneous files used by the MEDSTAT team in the development environment (non-production)
7) DataScan Builds: tapes containing interim datasets produced during a database build or update. These are generally maintained only temporarily during the build or update process.
8) DB2 Backups: tapes containing backups of the DB2 database(s). This will be discontinued starting in July 1999 with the implementation of a revised backup strategy. The image copies and monthly full volume backups will replace specific DB2 backups.
9) Incremental Backups: tapes containing files from daily incremental DASD backups.
10) Monthly Backups: tapes containing monthly full volume DASD backups.

Following is an example of the trend chart for tapes:



The Tape Utilization report is used to monitor the usage of tapes by category. The tape totals for each category is reviewed monthly. During this review, the Operations Team determines if there are tapes that can be released back into the tape pool. Forecasting tape utilization for the upcoming month is also based in part on the review of this report.

1) The data for the tape utilization report is stored in a spreadsheet named TAPEACT1198.XLS. It is stored in folder "\ca_med\operations\reports\tape". A TMS report is executed at the end of each month to obtain the tape utilization information. Then tape usage is grouped into the categories described above.
2) Once the totals for each category have been created, the spreadsheet is updated with the monthly totals. The totals are input into the current months column using the subsection titled "ACTUALS" found in column A of the spreadsheet.
3) The monthly Chart is embedded in the spreadsheet and is updated automatically when the data is entered.
4) A copy of the monthly chart is included with the monthly operations dashboard reports.

1.8.4 Application Availability, by Product—Process Steps

A spreadsheet is kept in CA_MED\Operations\PhaseX\Month xx Downtime.xls on a daily basis, for collecting the number of hours that applications (DataScan, Panorama View, and Performance Measurement Workstation) were available for users. The tracking categories are:

1) DataScan 24 x 7 availability
2) DataScan Business Hours (7-5) availability
3) PV 24 x 7 availability
4) PMW 24 x 7 availability

An Operations Analyst records available details in the spreadsheet on a daily basis. The data tracked in this spreadsheet for the month is then plotted on a pie chart included in the spreadsheet that breaks time into 3 categories:

1) Time lost for planned outages
2) Time lost for unplanned outages
3) Regular operational time

A copy of this chart is included with the monthly distribution of the dashboard reports.

1.8.5 Resource Utilization (HHSDC Monthly Reports)

The Health and Human Services Data Center (HHSDC) provides MEDSTAT with daily and monthly CPU utilization charts. The daily charts show the CPU utilization at fifteen minutes increments, prime shift versus off shift, over a 24-hour period. The monthly chart presents a daily summary of CPU utilization during the month.

- HHSDC mails CPU Utilization charts to MEDSTAT on a weekly basis.
- The monthly charts are filed in a binder, in month order from past to most recent.
- HHSDC mails 10 copies of the monthly prime-time and 24 x 7 utilization charts for the S4 Computer. A set of these charts is included with each of the dashboard reports sets created each month.

1.9 Exit Criteria

This process is exited when monthly dashboard reports have been generated.

1.9.1 Exit Exception Criteria

N/A

1.9.2 Exit Exception Handling

N/A

1.10 Forms and Subject Examples

N/A

1.11 Reference Material

N/A.

1.12 Policy History

Established/Revision Date	Established/Revised By	Change Description
5/1/00	John Mulcahy	Policy/Process Established

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1 HELP DESK AND MIS/DSS SYSTEM UTILIZATION REPORTS

1.1 Overview

In order to demonstrate the value of the MIS/DSS System, volumetric measures of system utilization have been developed. On a monthly basis, the System Utilization Report and the Analytical Support Desk Activity Reports are updated and distributed to the MIS/DSS Project Director. Additionally, to demonstrate the ongoing analytic support provided to the end users, detailed reports of Help Desk tickets are also distributed to the MIS/DSS Project Director.

1.2 Purpose

The purpose of this document is to create a documentation standard that ensures the accurate and timely completion of the monthly Help Desk and System Utilization Reports.

1.3 Scope

This document will be used by any MIS/DSS Project Team member responsible for updating the Help Desk and System Utilization Reports.

1.4 Responsibility and Enforcement

The MIS/DSS Project team is responsible for the enforcement of this document.

1.5 General Considerations

There are no general considerations for this process.

1.6 Skill Requirements

The skills required for the completion of this process include familiarity in the following areas:

- Mainframe processes, including DB2 table structure
- MS Access, including ODBC linking and querying
- MS Excel, including cutting and pasting, and formatting cells
- Mainframe screen navigation

1.7 Entry Criteria

This process is entered any time the Help Desk and System Utilization Reports need to be updated (currently a monthly process).

1.8 Procedure Steps

1.8.1 System Utilization Report

Step One: Data Bridge Logs and Track Info Table

Before any queries can be run for any reports, the Data Bridge Logs (Panorama System Utilization) and Track Info Table (DataScan Utilization) must be obtained for the corresponding time frame in which the reports will be run. These two data sources are located on the mainframe and the Panorama View Server and can be linked to via ODBC linking in Access (described in further detail below).

Step Two: MIS/DSS Usage Report

This report compiles both the Panorama and DataScan System Utilization.

DHS MIS/DSS Utilization by User Section

The system usage for Panorama is calculated on a "daily" basis, whereas DataScan usage is calculated on a "session" basis.

- **Panorama View User Days**:

  Microsoft Access

  The data for this column is derived from four Access queries in the Panorama.mdb located in the following MEDSTAT LAN directory: W:\ca_med\analysis\system utilization\panorama.mdb.

  Data Bridge Logs — There are multiple logs created during the month which must be imported into Access from the mainframe, via the macro called "Import BRIDGE Logs." Each log must to be imported individually (hence, this macro must be run multiple times), creating multiple tables. All these Log tables then must be appended into the "All_log" table, using an append query. In the Append query, bring in all fields and in the UserDate field enter the criteria: "Between mm/dd/yyy and mm/dd/yyyy," where mm is the month in which the report is to be based, dd is the first and last day of the month, and yyyy is the year.

  Step 1 Append New Names Query — This query identifies any new Panorama View users since the last time this query was run. If this query generates any new users, the names and Panorama View Ids of these users need to be entered into the User Names table located in this same database. To enter the new users into the table, use the drop down box to look for the new users' name. After the name has been chosen, the PLACE field needs to be updated to "D" for DHS users, "M" for MEDSTAT users, or "U" if the user name is unknown.

Step 2 User Days-DHS Query — This query calculates the number of Panorama View days per DHS user. There is no criteria to change in this query--it can be run as is. Once this report is run, a screen print of the result should be printed.

Step 3 User Days - MDST Query — This query calculates the number of Panorama View days used by MEDSTAT staff. There is no criteria to change in this query — it can be run as is. Once this report is run, a screen print of the result should be printed.

Step 4 User Days-Other Query — This query calculates the number of Panorama View days used by unknown (unable to identify) users. There are no criteria to change in this query — it can be run as is. Once this report is run, a screen print of the result should be printed.

Microsoft Excel

The results of queries Step 2 through 4 should now be manually entered into the Excel spreadsheet "Summary Report MM-YY.xls" located in the same directory as the Access database above.

Step One — Open the most recent Summary Report and rename it with the current month's month and year.

Step Two — Manually enter the user names in the User Name column and each user's corresponding number of Panorama View days (results of Step 2 above) in the Panorama View User Days column. The DHS staff should be broken out by user name, but the number of Panorama View days for MEDSTAT staff (results of Step 3 above) are rolled up into one summary row. The Panorama View days that were used by unidentified users (results of Step 4 above) are entered in the "Other DHS" row.

- **DataScan Sessions**

Microsoft Access

The data for this column is derived from four Access queries in the DataScan.mdb located in the following MEDSTAT LAN directory: W:\ca_med\analysis\system utilization\DataScan.mdb.

Step One — Link to the Track Info table using ODBC linking in Access. To do this, open the DataScan database and then File, Get External Data, Link Tables. In the Link window that appears, change the file type to *ODBC databases ()*. In the next window that appears, *Select Data Source,* click on the *Machine Data Source* tab, *DHS_PROD, OK,* and then enter an appropriate mainframe User ID and password (the same as used when logging in to DataScan and MyEureka!). In the *Link Tables*

window, locate and highlight the *TRACK_INFO* table, and then *OK*. In the *Select Unique Identifier* window, highlight all the fields and then *OK*.

Step Two — Run the *1_qry_Track_Info_Table* query to append the data from the mainframe table into the DataScan database.

Step Three — Run the *2_Look for New User Ids* query. If there are any new users, they need to be added to the User Names and Ids table in this same database (this step is very similar to the Step One part of the Panorama View section above). Note: each user must be entered twice, once with their true DataScan ID and name, and secondly with a "B" appended to their DataScan ID. This "B" tracks the Scripting usage of each user.

Step Four — Run the *3_Look for New Transaction Ids* query to locate any new transaction types that have appeared since the last time this report was run. If there are any new transactions resulting from this query, they need to be added to the Transaction Descriptions table in this database.

Step Five — Run the *4_Count End-User Sessions* query to count the number of DHS end user DataScan sessions and screen print the results of this query. These figures now need to be manually entered into the DataScan Sessions column of the Summary Report spreadsheet.

Step Six — Run the *5_Count MEDSTAT Sessions* query to count the number of MEDSTAT staff DataScan sessions and screen print the results of this query. This figure now needs to be manually entered into the DataScan Sessions column of the Summary Report on the "Total MEDSTAT Staff" row.

DHS DataScan Counts and Elapsed Time per Transaction

Step One — Run the *rpt HD Monthly Transaction Count* report to obtain the data for the DHS DataScan Counts and Elapsed Time per Transaction chart of the Summary Report spreadsheet. Print the report and then manually enter the bolded totals of each section in the report into the appropriate row of this chart

Step Two — Run the *7_Count MEDSTAT Transactions* query to obtain the Count and Elapsed Hours data for the DHS DataScan Counts and Elapsed Time per Transaction chart of the report. Screen print the results of this query and then enter the figures in the "Total MEDSTAT Staff" row of the Summary Report.

DHS DataScan Total Mainframe Elapsed Time by Transaction

This pie chart is linked to the DHS DataScan Counts and Elapsed Time per Transaction source data and is updated automatically when this source data is entered. The chart may need to be re-sized, or the labels adjusted, depending on the proportion of the pie chart.

DHS Panorama View User Days

Due to sizing limitations, this chart is a “rolling” view of Panorama usage over the last twenty months. With each month’s report, the oldest month of data is “rolled off” and the most current month is added to the chart. To update the chart with the most current data, update the Source Data range (e.g. for March 2000, the source data range is cells G78 through H98) by right clicking in the chart and obtaining the range of linked data in which the chart is based. In addition, the current month's data needs to be entered into the source data range. The current month is entered into column G and the "Total DHS Staff" figure from the Panorama View User Days column is the number to enter in column H.

Update the chart title to reflect the range of months displayed in the chart. Depending on the length of the columns above this chart, the chart may need to be resized for aesthetic appeal.

Update the Briefing Book and Consulting hours reporting, using data from timesheets.

DHS DataScan Sessions & Hours

Due to sizing limitations, this chart is a “rolling” view of DataScan usage over the last twenty months. With each month’s report, the oldest month of data is “rolled off” and the most current month is added to the chart. To update the chart with the most current data, update the Source Data range (e.g. for March 2000, the source data range is cells N98 through AG100) by right clicking in the chart and obtaining the range of linked data in which the chart is based. In addition, the current month's data needs to be entered into the source data range. The current month is entered into row 98, the "Total DHS Staff Elapsed Hours" figure from the DHS DataScan Counts and Elapsed Time Per Transaction chart is entered into row 99, and the "Total DHS Staff" figure from the DataScan Sessions column of the DHS MIS/DSS Utilization by User chart is entered into row 100 of the source data range.

Update the chart title to reflect the range of months displayed in the chart. Depending on the length of the columns above this chart, the chart may need to be resized for aesthetic appeal.

Briefing Book Reports

Using the web server tracking log imported into MS Access, a query is run on the number of reports accessed by user ID for the month in question. Reports are defined as any file accessed with any of the following file extensions: .pdf, .doc, .htm.

PMW Reports

On a monthly basis, the SQL log files from the SQL server are extracted and viewed via the PMW administrator. Based on output from these logs and a comparison to the previous month, individual users can be identified. The number of individual reports cannot be attained.

MyEureka! Reports

The following steps are required to extract the number of MyEureka! users per month. The number of individual reports is not attainable.

- Log into the HWDS Production Region
- Type: ISPF h.db
- Under the HWDC Data Base Products Main Menu, select "Candle Products."
- Under the OMEGAMON II for DB2 Version 400 menu, select

  2 "HISTORICAL - Generate reports/graphs; execute data management functions."
- Under the HISTORICAL MAIN MENU ,select

  1 "REPORT - Generate historical reports."
- Under the Historical Reporter Menu, select

  0 "OPTIONS - Set reporter options."
- Under the Historical Reporter Options Menu, select

  1 "SPECIFICATIONS - Set Filtering criteria and reporting options."
- Under the Historical Reporter Specifications menu, enter the grouping specifications

  Group by …. PLANNAME, AUTHID

  Press <Enter>
- After pressing <Enter> you will return to the Historical Reporter Specifications menu. Select

  "2 SOURCE - Specify input data sets to use for reporting."
- This will place you in the Historical Reporter Source Data sets menu. Enter these data set names

  Data set name(s) … H2X 'HMPD.OMII.ARCHIVE.G0065V00'

  H2X 'HMPD.OMII.ARCHIVE.G0066V00'

  The data set names will change from month to month. Be sure to check and see which RCHIVE files correspond to the period you want to report.

  And press <Enter>>

- After pressing <Enter> you will return to the Historical Reporter Specifications menu. Select

  4 "SELECTIONS - Specify report filtering selection criteria"

  Under PLAN type: = DSTSERV

  And press <Enter>>

- After pressing <Enter> you will return to the Historical Reporter Specifications menu. Select

  "5 DATE/TIME - Specify report date and time criteria."

  By Start date/time, type start date and time.

  By End date/time, type end date and time.

  And press <Enter>>

- After pressing <Enter> you will return to the Historical Reporter Specifications menu. Press <F3> to return to the Candle Historical Reporter Menu, and select:

  2 "ACCOUNTING - Display accounting report menu."

- Under "Enter an action code next to the desired report.", select

  B = Batch submission

- After pressing <F3> you will return to the Historical Reporter Menu.

  Select B for BATCH - Process batch report requests

- After selecting <B> you will view the Batch Job Generation Options. Press <Enter> to view JCL code for report.

  On the command line of the JCL screen type: SUB to submit the job.

1.8.2 Analytical Support Desk Activity Reports

These reports are generated from an Access database located in the following MEDSTAT LAN directory: W:\Ca_med\User_Sup\End User Support Application.mdb.

Open the database, click on the *Help Desk* menu option, the *View/Edit* button, *End-User Activities Summaries* button, then choose the month and year on which the report is to be based. Minimize the *Help Desk and System Utilization Activity Summaries* window, and then print the resulting reports.

1.8.3 Analytic Support Desk Ticket Detail Report

This report is a detail of the Help Desk tickets generated throughout the reporting time period. The report is generated from an Access database located in the following MEDSTAT LAN directory: W:\Ca_med\User_Sup\End User Support Application.mdb.

Open the database, click on the *Help Desk* menu option, the *View/Edit* button, *Closed During Month-Detail* button, then choose the month and year on which the report is to be based. Minimize the *Help Desk and System Utilization Activity Summaries* window, and then print the resulting reports.

1.9 Exit Criteria

Reports are produced and presented to the MIS/DSS Project Director.

1.10 Forms and Subject Examples

An example of each Help Desk and MIS/DSS System Utilization report is included in Appendix 1.13.

1.11 Reference Material

There was no reference material consulted for the creation of this process.

1.12 History

Established/Revision Date	Established/Revised By	Change Description
5/2/2000	Tracy Meeker	Policy/Process Established
3/9/2001	Robert Joy	Reviewed for errors/omissions
3/9/2001	Robert Joy	Added sections for Briefing Book, MyEureka! and PMW usage reporting
6/7/2001	Todd Jackman	Added to Appendix 1.13, an example of monthly reports.

1.13 Appendix